CLM
Center For Leadership and Management

EXECUTIVE Potential Program

Program Handbook

Leadership Training to Shape and Direct Change

Dear Program Participant:

Congratulations on being selected for the **Executive Potential Program (EPP)**, an intensive, year-long leadership development program designed to develop public service leaders through both individual and team development activities. This program will require focus, commitment, and hard work. It is our hope that you will take full advantage of the opportunities presented by this program to achieve both professional and personal growth.

This handbook provides an overview of the program and important details on program activities, deliverables, and policies. Please read the information carefully and set expectations with your supervisor and any others who may be affected by your participation in the program.

A challenging and rewarding experience lies ahead. When registering for this program, you agree to attend **all** four, one-week training sessions in their entirety and to complete the following activities and assignments to fulfill program requirements:

- Submit a self-assessment and request 360º feedback from your supervisor, peers, and direct reports (if applicable) to receive a Leadership Effectiveness Inventory (LEI).
- Meet with a mentor for the duration of the program.
- Design and implement a Leadership Development Plan (LDP).
- Research and write a proposal for the team Action Learning Project (ALP).
- Read and report on two leadership books.
- Conduct a minimum of five Senior Executive Service (or private sector equivalent) interviews and write a summary report.
- Set up and complete a three-day Shadow Assignment with a senior level manager (*or* three one-day assignments), and report on the experience.
- Conduct two eight-week or one sixteen-week Developmental Assignment outside of your position of record and submit a Developmental Assignment Report.
- Write and submit a Midterm Self Report.
- Participate in action learning team activities including, serving as team leader, completing an action learning team project and presenting on a team leadership book.
- Write a Program Impact Paper outlining key learnings from the program.

Many of the program requirements will need to be completed outside of your normal work hours, so advanced planning will be critical to your success. If you have any questions, please do not hesitate to contact the program management team.

We look forward to working with you!

Peter Talbot, Program Manager

Jennifer Bien-Aime, Senior Program Specialist

Executive Potential Program

Center for Leadership Management Office

Graduate School USA
600 Maryland Avenue, SW
Washington, DC 20024

EPP Program Manager

Peter Talbot
(202) 314-3312 (Office)
peter.talbot@graduateschool.edu

EPP Senior Program Specialist

Jennifer Bien-Aime
(202)314-3538 (Office)
Jennifer.bienaime@graduateschool.edu

Important: When communicating with program staff, please make sure to indicate your cohort year and number in the subject line.

Table of Contents

Executive Potential Program Overview

Program Description

The Executive Potential Program (EPP) is a competency-based leadership development program that provides training and developmental experiences for public service employees at the GS 13 -15 level. This program prepares participants for greater leadership responsibility in the federal government. The EPP operates under the direction of the Graduate School USA's Center for Leadership and Management. The overarching theme of the program is "Leading Change."

The EPP is geared primarily for occupational specialists who are transitioning into leadership positions. These employees want to augment their technical expertise with professional leadership competencies, knowledge, and experience.

Program Objectives

The objectives of EPP are to:

- Provide public sector employees with a solid training and developmental foundation in leadership skills.
- Prepare talented employees for leadership and managerial positions
- Provide participants with an opportunity to assess their developmental strengths and developmental needs in relation to the Executive Core Qualifications: Leading Change, Leading People, Results Driven, Business Acumen and Building Coalitions.
- Provide training and developmental experiences that enhance job performance.
- Provide participants with an opportunity to observe senior public sector leaders as role models.
- Expose participants to leadership and management best practices of both governmental and non-governmental organizations.
- Assist participants in becoming more effective in their roles within their respective organizations.
- Enable participants to work in tandem with federal agencies to identify and solve real organizational problems.

Program History

The EPP was designed and created by OPM under the Reagan Administration in the summer of 1985 at the request of numerous agencies, the Executive Review Boards (ERB) and some GS 15 participants. The intention was to help expedite and enhance the leadership applicant pool for the GS 14/15 and SES. In 1995, OPM determined that employee backgrounds checks, OPM research, and the nationwide training delivery component were not a part of their core mission and ordered a Reduction in Force (RIF) of approximately 400 employees. The EPP, along with the nationwide training component and approximately 110 OPM employees, were immediately transferred to the Department of Agriculture (USDA). In 2005, the School added the Action Learning component to the EPP to provide hands on leadership skills in the areas of organizational problem solving, working for a SES sponsor, benchmarking, conflict management, team building, presentation and more.

Program Design

Careful attention has been taken over the years to provide EPP curriculum and leadership training that results in positive outcomes for graduates. Since there are no educational requirements for applicants from the GS 13-15 levels, peers range in educational background from high school degrees to PhDs. Additionally, the span of experience in the federal workforce for the EPP participant can range from one to over thirty years! Though one might assume that trying to meet the needs of this range of experience is challenging, we have learned that education and experience are not necessarily indicators of leadership potential. Anyone who is open and curious will benefit from this program.

Program design is based on a holistic approach to leadership development that draws on assessment, individual development, and experiential learning. The design includes similar training and developmental requirements of Senior Executive Service Candidate Development Programs (SESCDPs) certified by the United Stated Office of Personnel Management (OPM) and is focused around the five Executive Core Qualifications (ECQ's), 28 Leadership Competencies, and OPM's leadership behaviors. In fact, the program was originally run by OPM and later transferred to Graduate School USA. Although EPP has this history as a model for other programs, it is a leadership program -- *not* a certified SESCDP.

Trainings are spread throughout the year as four, one-week sessions that focus on different elements of leadership development. Content for the trainings is tied back to building competencies in each of the Executive Core Qualification (ECQ) areas; Leading Change, Leading People, Building Coalitions, Business Acumen, and Results Driven. Participants are asked to identify the competencies they need or want to develop based on a formal assessment of their performance, and to create a Leadership Development Plan (LDP) that will facilitate that growth.

In addition, participants work on teams to identify a real problem facing an agency and to make recommendations for addressing the problem.

Leadership Effectiveness Inventory (LEI)

All participants complete the Leadership Effectiveness Inventory (LEI), a 360-degree feedback instrument which assesses leadership competencies. This feedback provides participants with a view of how those they work with see them and their leadership skills. This instrument helps participants understand their strengths, identify developmental needs, and create their LDP as a "road map" for growth.

Individual Development

Individual development is facilitated through assessments, feedback, in-class learning, teamwork, and through activities that make connections with other organizations, leaders and practice areas.

Experiential Learning

The experiential learning components of EPP emphasize the value of learning through action. A primary focus is Action Learning, where Action Learning Teams (ALTs) are selected at the beginning of the program and complete an Action Learning Project (ALP) by the end of the program. Each team is asked to identify a problem faced by an agency, find a sponsor at that agency who helps the team understand the problem, and then expected to write a report that includes recommendations for addressing the problem. Throughout the process, participants are challenged to observe what they bring to a team, how to address conflict, and the elements of high performing teams.

In addition, participants set up and go on two eight-week developmental assignments or one 16-week developmental assignment, conduct at least five senior executive interviews, read and report on at least two leadership books readings, and complete one, three-day shadowing assignment (or three one day assignments.)

Core Curriculum*

Session I

ROADMAP FOR SUCESS (Orientation)

- Program Overview and Requirements
- EPP Alumni Panel
- Action Learning I
- Leadership Effectiveness Inventory (LEI) Assessment & Creating a Leadership Development Plan (LDP)
- High Performing Teams
- My Federal Career

Session II

LEADING CHANGE

- Action Learning II
- Leading Change Module
- Conflict Management
- Change Leadership Case Studies (Connecting Past and Present)
- Team Leadership Book Presentations

Session III

BEST PRACTICES IN LEADERSHIP

- Action Learning III
- Communication Module
- Human Resources Management Module
- Strategic Planning Module
- Best Practices Tour and Seminar

Session IV

LEADERSHIP THAT LASTS! (Graduation)

- Action Learning Team Project Preparation and Presentation
- My Federal Career Next Steps
- Graduation Ceremony

**Note: The curriculum is subject to change and may not include all the elements listed. Other content may be substituted or added.*

Roles and Responsibilities

The next few pages outline the roles and responsibilities for each program stakeholder. Share this information with those persons who have been identified as critical to your success.

Participant

Each participant in the EPP program is expected to:

- Attend and participate in all EPP sessions and activities.
- Ensure that the first-line supervisor is informed of all program related activities.
- Participate fully in all team activities.
- Fulfill the requirements of each EPP component.
- Consult with the Agency Program Coordinator, Supervisor, and EPP Staff in finalizing the Leadership Development Plan.
- Assume the responsibility for one's own success in the EPP by taking full advantage of the opportunities afforded by the program.
- Exhibit the highest ideals of professional conduct and standards during the EPP and carry out all federally related activities within the confines of Civil Service rules and regulations.

Agency Supervisor

The Agency Supervisor for an EPP participant is asked to:

- Provide support to the participant in all phases of the program.
- Approve and support developmental and shadow assignments. (Supervisors should note that developmental and shadowing assignments are full-time activities that require participants to be given full and uninterrupted time to engage in them. It is also expected that supervisors find ways to ease the participant's workload in order that he/she can focus on completing the program requirements and ensure a maximum return on the agency's investment.)
- Consult with the participant and Agency Program Coordinator in finalizing and signing the Leadership Development Plan.
- Participate in the identification of developmental needs and arrangements for appropriate training and/or developmental experiences.
- Participate in the process of scheduling the participant's developmental assignments, taking into account the workload and performance requirements of the work unit.
- Provide reasonable flexibility and consideration for easing a participant's workload in order that he/she can attend to and satisfy the requirements of the leadership development program in a timely and effective manner.
- Review, approve and sign participant deliverables where required.

Agency Program Coordinator

The Agency Program Coordinator for each EPP Participant is asked to:

- Act as the agency's central point of contact for all the participant's EPP needs. This includes having an understanding of the program requirements, nomination procedures, and both agency and participant benefits that result participation in the EPP.
- Provide orientation and background information for supervisors and agency officials.
- Assist participants, as requested, in finalizing their Leadership Development Plan.
- Maintain communication with participants, supervisors, and other agency officials as needed.
- Counsel and assist participants in the identification and selection of developmental assignments and in-house agency training that will comprise an effective Leadership Development Plan fulfilling the EPP objectives and requirements. *(The Program Coordinator is not responsible for selecting the developmental assignments for the Participant.)*

Agency Sponsor

The Agency Sponsor for an EPP participant is asked to:

- Serve as the sponsor for an action learning team if the project is chosen. Sponsors guide teams, help to facilitate access to individuals and information, and participate in team meetings as needed.

Host Supervisor

The Host Supervisor is the supervisor-of-record for the EPP Participant during the developmental assignment. The Host Supervisor is asked to:

- Meet with the EPP participant before the developmental assignment begins to discuss expectations, clarification of duties, time and attendance expectations, the organizational/office culture, lines of communication, chain of command, and supervisory requirements.
- Complete the developmental assignment contract (with the assistance of the EPP Participant) one week before the participant begins the developmental assignment.
- Introduce the EPP participant to other members of the staff with whom he/she will come in contact.
- Provide the EPP participant with a suitable working space and the equipment needed to complete the developmental assignment.
- Meet with the EPP participant on a regular basis (suggestion: once a week) to provide feedback on progress of the developmental assignment based on what was negotiated in the developmental assignment contract.
- Complete the Host Supervisor's Review for the EPP participant upon completion of the assignment.

  Note: The Host Supervisor should feel comfortable in contacting the Graduate School USA Advisor with any comments or concerns prior to, during or after the assignment.

Mentor

The Mentor for the EPP participant is chosen by the participant at the beginning of the program. Mentors are asked to:

- Provide support to the participant in all phases of the program.
- Share wisdom and experiences as a seasoned professional.
- Assist the participant in developing their strengths, developing needed knowledge and skills, and in setting challenging but realistic career goals.
- Guide the participant through the inner workings of an organization, including policy (written and unwritten).
- Provide constructive feedback and coaching to help the participant overcome performance and program challenges.
- Motivate and encourage the participant, especially during difficult times.
- Be reasonably accessible and available.

**Note – Some participants have more than one mentor which is both supported and encouraged. Also, a mentor cannot serve in any other role in the program such as someone in your interview report.*

Center for Leadership and Management

The Center for Leadership and Management in relation to the EPP is expected to:

- Design, deliver, and evaluate all scheduled activities for the program.
- Facilitate logistical arrangements and identify instructors and consultants for all Graduate School-USA sponsored training.
- Administer assessment instruments for the participants and process the results. (Assessments include the Leadership Effectiveness Inventory (LEI) with results used to identify the Participant's developmental needs for their Leadership Development Plan and to enrich all EPP sponsored training.)
- Plan and coordinate EPP Agency Coordinator Meetings.
- Advise Agency Program Coordinators, Supervisors, and participants of their roles and responsibilities and the importance of the EPP guidelines and components.
- Provide guidance and insight in designing the Leadership Development Plan.
- Grant the final approval of each participant's Leadership Development Plan.
- Counsel participants around strategies for completion of self-directed experiential and developmental activities.
- Monitor participant's progress in completion of program deliverables.
- Advise agency stakeholders of participants that are not meeting the program requirements.

Program Requirements and Policies

Activities

Every EPP participant is expected to:

- Attend all training seminars according to the published agenda. (Some courses will run until 4pm on Fridays. An agenda will be published in advance to accommodate for travel needs.)
- Participate fully as a member of their assigned team.
- Keep the Agency Supervisor, Agency Program Coordinator, Mentor and EPP Advisor informed of progress.
- Submit assignments according to the published schedule.
- Complete all assignments to receive formal graduation documentation from the Graduate School USA and program CEUs.
- Formally request in writing any variations in assignments for approval to the EPP Advisor. *(Request may require signature approval of the Supervisor and/or Program Coordinator).*

Note: Graduate School USA may provide participant progress reports at any time to Agency Supervisors and Program Coordinators in a good will effort to keep stakeholders informed of the Participant's activities and successes.

Assignments and Deliverables

EPP participants are expected to complete the following assignments and submit the corresponding deliverables to graduate. A detailed checklist and more information is included in the Program Deliverables section of this Handbook.

- Develop and maintain a Leadership Development Plan that accounts for all required activities in the program.
- Contract with and meet with a mentor for the program duration.
- Conduct at least five (5) Senior Executive Service (or private sector equivalent) interviews and write a summary report.
- Set up and complete three one-day shadow assignments with a senior level manager (or three different managers) and report on the experience.
- Conduct two eight-week or one 16-week developmental assignment outside of your position of record and submit a developmental assignment report and procure a host supervisor review.
- Submit a midterm self-report.
- Read and report on at least two leadership books (one as an individual and one as a team.)
- Participate in team learning activities including submitting an Individual Team Project Proposal, serving as a team lead, and helping to research and produce a final report and presentation.
- Write a program impact paper outlining key learnings from the program.

Learning Management System

All assignments are accessed and submitted on our Learning Management System (LMS) called Desire to Learn (D2L). Participants access the system through their MYGSUSA student account and will be given an overview of how it works during orientation week. Course information and announcements are also available on the system as are tools for teams to collaborate. Every participant must have access to the LMS to support their learning and should consult with their agency or EPP Advisor to discuss access issues or concerns.

Graduation

Eligibility

In order to meet the requirements for a certificate of program completion the following criteria must be met:

- Participants must attend each day, of all four training sessions
- All deliverables (individual and team) must be completed and approved
- Participation in team activities has been fully satisfied

Extensions

If a participant is aware that completion of program requirements by the final deadline is not possible for reasons beyond their control, they may request a written extension to complete the program requirements after graduation. ***However, this should only be needed in exceptional circumstances.***

- All extensions require the submission of a form that is signed by all stakeholders: participant, participant supervisor, agency coordinator and GSUSA staff.
- Any participant who does not meet the requirement forfeits their opportunity to complete the program.
- The Extension Request Form is available on the LMS and must be submitted via email to the program management staff before the final individual deliverable deadline.
- The extension period expires six months from the date of graduation.
- Participants who file an extension will not receive a certificate or completion letter until all final assignments have been reviewed and approved.

Transcript Requests

A transcript request form can be found on the Graduate School USA website. Complete the form, include the fee and submit to the registrar's office.

Policies

General Program

Attendance/Absenteeism

Attendance is *mandatory* at all training sessions from beginning to end. Participants are expected to be present and attentive for the entire session. ***In the event of an emergency situation that requires a participant to be absent from any part of the training, participants must notify EPP staff via email and copy the supervisor.*** Participants must also contact their fellow team members. Approvals for missed training are required by Graduate School USA and will require make up work for the time missed.

Graduate School USA's Accessibility Policy (ADA)

The Graduate School USA fully complies with Section 504 of the Rehabilitation Act of 1973 and the Americans with Disabilities Act of 1990 and does not discriminate on the basis of disability. The Special Accommodations Coordinator in the Office of the Registrar manages a variety of support services for students with disabilities and/or special requirements.

Services are coordinated to fit the individual needs of the student and may include sign language interpreters, Braille, electronic format (large print, Word or PDF), computer-aided real-time translation (CART) services, note-taking services, testing accommodations, and use of assistive technology. Academic advising, priority registration, and referral information are also available. Students requesting services are responsible for providing current documentation from a qualified professional verifying the disability and its impact on academic performance. New students are encouraged to contact the Special Accommodations Coordinator in the Office of the Registrar at least one month prior to registration.

Students requiring assistance and accommodation should complete this Special Accommodation Request form and submit it to the Office of the Registrar. The Special Accommodations Coordinator may be reached at (202) 314-3349 or registrar@graduateschool.edu and by TDD at (888) 744-2717.

Government Shut-Downs and Closures

Graduate School USA mirrors the federal government's operating status, as determined by the Office of Personnel Management (OPM). With regard to closings due to inclement weather or other emergencies, if the federal government is closed, the School will also be closed.

Personal Conduct

Every participant is held accountable for their conduct throughout the EPP whether it is in trainings, working with team members, or completing deliverables. Participants are expected to be both mentally and physically present during training sessions by showing up with an open mind and a respectful attitude to fellow participants. (See policy on electronics.)

Removal from the Program

Graduate School USA reserves the right to make the final determination on whether a participant should remain in the program. A participant may be removed from the EPP for failure to:

- Meet the deadline for deliverables at the midway point of the program.
- Meet the attendance requirement for residential trainings.
- Satisfactorily participate in team developmental activities.
- Follow EPP policies as outlined in this handbook.
- Demonstrate conduct consistent with established rules, regulations and guidelines of the federal workplace and home agency.

Special Privileges

While in the EPP, participants are not entitled to any special privileges relative to training and/or hiring. In addition, in cases where an agency policy conflicts with an EPP policy, agency policy takes precedence.

Withdrawals and Substitutions

Withdrawals and substitutions are accepted at no cost if made more than 14 days before the program start date. For cancellations less than 14 days before the program start date, there is a $1,000 processing fee. ***There will be no refund for withdrawal after the orientation session begins***. Due to the amount of time necessary to complete the pre-assessments, substitutions will only be accepted 14 days prior to the program beginning.

Classroom Specific

Use of Cell Phones, Laptops and Other Electronic Devices

Graduate School USA understands the need to stay connected, as well as value of electronic devices to do research, take notes and complete assignments. Therefore, electronic devices are permitted in class for these activities. (Wireless connection is available.) As a courtesy to instructors and classmates, such items should be silenced during class time and important or personal calls should be taken outside the classroom. *Participants not in compliance will be asked to leave the class.*

Food During Class

Eating food in the classroom is allowed outside of formal classroom instruction, as long as participants clean up after themselves and the activity does not distract from learning.

Tardiness

Participants are asked to arrive at least 10 minutes prior to the beginning of class as a courtesy to the instructor and fellow classmates, and in order to avoid distractions when arriving late.

Assignment Specific

Non-Redundancy

The EPP encourages participants to engage with as many senior level people as possible. If participants conduct their assignments within these guidelines, they will have a different contact for each mentor, interviewee, shadow subject, and host supervisor. ***No person is to be used more than once to fulfill program requirements.*** For example, if a person who is interviewed becomes a mentor, host supervisor, or shadow subject, he or she will not count towards the program requirement for at least five interviews.

Program Assignments and Deliverables

Participants are required to complete a variety of out of class assignments across the program year. Each assignment is intended to provide participants with an opportunity to develop their skills and careers. These assignments are an incredible opportunity to tailor the EPP experience to help you advance your career. This is a tremendous and unusual opportunity, so be sure to make the most of it, and do not approach assignments with a "check-the-box" mentality.

Participants are required to document and reflect upon the various assignments and experiences that occur outside of class. These deliverables are submitted through Graduate School USA's online Learning Management System called "Desire to Learn" or D2L. **Participants are required to use the system for accessing, reviewing, and submitting deliverables**. Templates for a majority of the assignments as well as further details are provided.

Style Guide for Deliverables

In cases where a template is provided, please use those. Otherwise, use the following guidelines when producing a written assignment:

- Font: Arial, Calibri
- Headlines: 14-point Bold
- Subheads: 12-point Bold
- Body Text: 12 point, double spaced

Graduate School USA's Learning Management System (LMS)

EPP uses Desire to Learn (D2L) run on the Brightspace platform for managing communications and assignment activities (submitting, reviewing and tracking). The system also provides the option for group discussions if desired and file sharing. Participants are given access to D2L prior to Session I, orientation.

Note: Some agencies have firewalls or other security measures that may make it difficult to access the LMS. We expect you to work with your agency to provide access or access the system from an alternative site. Also, some emails sent from the system may get caught in spam filters so please be aware. We will answer general questions through email but want to keep coursework online.

Assignment Best Practices

Participants should strive to submit assignments in a timely manner. The program deliverable's schedule is designed to empower participants to make their own choices while trying to keep things fair for all. We recognize that the assignments can be time-consuming and that participants are juggling home and work responsibilities. We also understand that unexpected things happen; thus, we give some flexibility in submitting work on your own schedule.

We strongly urge participants to complete and submit the write-up of each assignment within two weeks of the event. This practice will aid in keeping the details fresh and to help avoid procrastination that leads to assignments piling up at the end**. In general, to keep on track for graduation, participants should map out their deliverable schedule during their LDP process.**

Participants should feel free to contact the EPP Advisor(s), especially when it comes to special requests. Any major variations in assignments require a formal request for approval in writing. The request should include an explanation as to why the deadline will be missed, and when to expect the deliverable. This is particularly important for the LDP and Mentor Contract since these two deliverables MUST be submitted and approved before completing the other program requirements.

Mid way through the program, participants should have completed and submitted 50% of the deliverables. If a participant is not completing assignments, EPP staff may reach out to the participant and supervisor to discuss the situation. Participants are allowed and encouraged to submit deliverables earlier than the deadline and/or as soon as the assignment is completed.

Ad Hoc Assignments

Occasionally, instructors or EPP Advisors will ask participants to complete an ad hoc task or do advanced reading in preparation for an upcoming training module being taught. It is expected that all participants will complete these activities as part of the requirements of the program.

Deliverables for Individuals and Teams

The following list of deliverables are expected from individuals and teams by the end of the program. For team assignments, one person from the team (often the team leader) can submit the document on behalf of the team. Due dates are listed in the LMS and on the checklist specific to your cohort.

Deliverable	Due By	Me	Team	√
	By End of Session I			
Draft of Team Charter & Agreement			x	
Team Book Review Choice - *Submitted by Team Lead*			x	
	Before Session II			
Individual Leadership Book Choice		x		
Final Team Charter - *Submitted by Team Lead*			x	
Mentor Contract		x		
Leadership Development Plan (LDP)		x		
Individual Team Project Proposal (ITPP)		x		
Leadership Book Team Presentation	*Delivered During Session II*		x	
Recommendations: • Start interviews as soon as possible as the report on all five is due by third session of the program. Start the interview report now and add in information as you go along. • Leave enough time for the ITPP to be reviewed by the EPP Advisor and for the team to be able to vote on the projects before Session II.				
	After Session II			
Leadership Book Team Presentation - *Team Leader uploads presentation to D2L*			x	
Action Learning Team (ALT) Project Plan			x	
	Program Mid-Point			
Midterm Self Report		x		

Additional Individual Deliverables Due	Due By			
Interview Report (Summary of all five interviews)	Upon completion of interviews	x		
Team Lead Report (Only one due regardless of number of terms)	2 weeks after your term	x		
Shadow Assignment Report (Summary of all three days)	Upon completion of shadowing	x		
1st Developmental Assignment (DA) Contract	1 week prior to start of DA	x		
2nd Developmental Assignment (DA) Contract (Only needed for second 8-week DA)	1 week prior to start of DA	x		
Host Supervisor Review(s)	2 weeks after DA ends	x		
Developmental Assignment Report(s)	Upon completion of DA	x		
Individual Leadership Book Report	2 weeks after completion of book	x		
Program Impact Paper	Prior to final individual deliverable deadline	x		
Final Deadline for All Individual Deliverables! If an extension is needed, an extension request form must be signed by the supervisor, participant and agency representative and submitted ON or BEFORE this date.		**One Month Prior to Session IV**		
	Before Session IV			
Final Team Project Report (to Sponsor and Graduate School USA)			x	
	End of Session IV			
Action Learning Project Presentation to Graduate School USA			x	

Individual Deliverables

Leadership Development Plan

The Leadership Development Plan is the road map for your individual development across the program. It should be drafted using the developmental needs identified in the Leadership Effectiveness Inventory (LEI) with input and feedback from your supervisor and mentor. A completed LDP is the first step in laying the foundation for a successful year. A draft is required at the beginning of the program and should include all major program assignments as well as opportunities outside of EPP.

Requirements

The LDP **must account for the activities listed below** <u>as well as other forms of continual learning</u>. The required activities are:

- Mentor
- Developmental Assignment(s)
- Five Senior Executive Interviews
- One 3-day Shadow Assignment or Three 1-day assignments
- Two required leadership readings/reviews (team and individual)
- Team Leadership Rotation
- Action Learning Project

The LDP should also include individual and agency-specific activities that will complement the required program activities. This means that individual and agency needs/interests NOT covered by the program requirements should be addressed here. For example, if there is an individual or an agency need/interest in Technical Report Writing, include it on the LDP.

Note: The LDP should be considered a living document and may change as the year progresses. Use it to track progress and inform the final Program Impact Paper.

LDP Roles and Responsibilities

Suggestions for how each stakeholder can contribute to the success of an LDP include:

Participant's Role

- Consider your developmental needs based on where you are now, feedback from your LEI, and where you want to be at the end of this program. Start to draft your LDP.
- Share your DRAFT LDP and other information from Session I (Orientation) with your supervisor, Mentor (if you have one by now) and the Agency Program Coordinator.
- Incorporate feedback and get sign-off on your LDP.
- Submit the completed DRAFT LDP by the due date listed on the "Checklist of Deliverables." (**You should continue to update it throughout the program.)**
- Provide your supervisor and program coordinator with an update of activities completed as you go along.

Supervisor's Role

- Discuss developmental needs/interests with participant and assist in identifying developmental opportunities.
- Sign-off on LDP.

Mentor's Role

- Advise the participant on the competencies needed for successful performance.
- Provide informal coaching throughout the program.
- Advise the Participant on appropriateness of areas/locations for developmental assignments.
- Assist the Participant in locating potential developmental assignment locations.
- Serve as an advisor to writing the LDP and mapping the EPP experience.

Agency Program Coordinator's Role

- Discuss developmental needs/interest with participant and supervisor.
- Assist Participant and supervisor in identifying a developmental assignment.
- Sign-off on LDP.
- Provide on-going consultation with participant through the assignments.
- Monitor assignment completion.

EPP Program Staff's Role

- Review LDP to determine whether all program requirements have been addressed.
- Approve final LDP.
- Maintain an up-to-date report of completed assignments and, upon request, make this information available to Supervisors and Program Coordinators.

Mentor Contract

The benefits of having a mentor are significant. A mentor is someone you trust and respect who can help you define your goals. A mentor can provide you the support and encouragement you to reach your goals. Some of the benefits of having a mentor in EPP include guidance on the LDP, career advising, role modeling, constructive feedback, and mediating. Some critical factors to consider when identifying a mentor is the candidate's:

- Knowledge/insight about how things get done in the agency.
- Broad and extensive leadership experience at two or more organizational levels above the program Participant.
- Occupation of a key position (perhaps in another functional area of the agency).
- Extensive contact with other agencies and organizations.
- Proven record as a competent executive and leader; as well as the ability to serve as a good role model.

Note: A supervisor may not serve in the role of a formal mentor for the EPP.

Requirement

The participant is required to find and select a mentor by the date indicated on the deliverables checklist if at all possible. Ideally, this person is a member of the Senior Executive Service (or SES-equivalent) at your agency. If this is not possible, the mentor can be an individual outside the agency but must be at a higher career level than the participant and be someone the participant respects and believes can provide the type of guidance they need. If participants have questions about selecting a mentor, they should contact their EPP Advisor.

Finding a Mentor

Agencies may have identified a pool of potential mentors, or the supervisor and the program coordinator may be helpful in suggesting Senior Executive Service persons who are especially suited to serve in this capacity. Participants should have as much input as possible in selecting a mentor. The extent to which any relationship becomes productive will depend considerably on the interpersonal chemistry of the individuals. (Mentors in your direct chain of command may not be suitable due to possible conflicts of interest.)

Individual Team Project Proposal

Requirements

Every participant must research and write an Individual Team Project Proposal (ITPP) that is submitted for review and then, upon approval, submitted to their ALT for review and vetting. The ITPP is due between Session I and II and serves as an exercise in understanding an action learning problem or challenge. This exercise also gives participants the opportunity to make a business case for why the ALT would benefit from addressing the problem.

Every participant submits their ITPP via the assignments section on the LMS. The proposal should be written thoughtfully and be as detailed as possible in order for team members to understand the problem/concern and to make informed decisions.

The ITPP includes the following:

- Summary of Problem/Challenge
- Background
- Sponsors/Key Players,
- Required/Available Resources
- Team Goals
- Benefits/Risks

Delivery Date

The due date for this deliverable is indicated on the Checklist of Deliverables. It is critical that all proposals are submitted on time so the team can vet them equally in order to choose one final project. Each ALT member is expected to read critically all submitted proposals and be prepared to ask questions during the vetting process as to the viability and suitability of the proposal.

Team Leader Report

Each participant must serve a minimum of one term as the leader for the ALT during the twelve-month program. The Team Leader Report is intended to provide Participants with an opportunity to reflect on this experience. (See more about action learning teams under Team Deliverables.)

Requirements

The Team Leader Report should:

- Discuss leadership styles the participant used during the term.
- Report on the team's activities and progress.
- Identify roadblocks and success stories of the team/team process.
- Provide recommendations for future team leaders.

In your Team Leader Report, you should speak to the following issues in whatever style or order you wish to write this report.

- Discuss your leadership tenure with your team, your observations, and your analysis of your team's performance. (Forming, norming, storming, performing)
- Talk about any team meetings during your leadership term and what you accomplished for each of these events.
- Describe any challenges or difficulties you or your team are experiencing and what actions, if any, you or others have taken to minimize or eliminate them.
- Describe any situations where your team worked well together getting things done.
- Reflect on what conditions or circumstances contributed to success or lack of success?
- Describe the type of leader you were during this time period. How effective do you feel you were as Team Leader? (It is highly recommended that you ask for feedback from team members on your effectiveness.)
- What if anything could you do differently?

Include any other comments you would like to share about your experience.

Note: The Team Leader Report serves a secondary function. It allows the EPP Advisor to be attuned to how the team process and project are progressing. Therefore, it is critical that Team Leader Reports are submitted in a timely manner (as soon as the Team Leader's term has completed). Do not distribute your Team Lead Report to team members so that you can be candid and honest in giving your assessments.

Delivery Date

No firm delivery date is defined. The report should be submitted within two weeks of the completed term and only report is required even if several terms are served.

Interviews

The requirement to interview senior executives during EPP provides participants with the opportunity to build their network, gain insight, reflect on leadership styles and make valuable connections. Interviews can be one of the most rewarding aspects of the EPP, and certainly one of your greatest resources.

The objectives of the interviews are to:

- Provide opportunities to gain critical information for long-term career planning and development
- Gain insight and knowledge about the role of a public sector executive through personal interaction as it relates to your developmental objectives
- Assist in the establishment of a support network for professional development
- Provide opportunities for personal interaction with high level leaders and managers

Requirements

Each participant is required to conduct a minimum of five senior executive interviews with senior level managers at the Senior Executive Service (SES) level or equivalent to include:

- One female executive
- One private sector executive

Participants may *not* interview a supervisor, host supervisor, mentor or someone that they have shadowed. No duplication of people. The interview might include:

- Questions about the most critical aspects of the job.
- A description of the person's career progression.
- Discussion about how career planning prepared the interviewee for the current position.
- The role mentoring has played in his/her career.
- Types of personal attributes one must possess to be a successful leader.
- A description from you about the EPP.

See "Sample Interview Questions" in this section.

Interview Report

Participants are required to submit a final report that summarizes each interview, shows proof for each interview, and includes a personal reflection.

Delivery Date

The interview report is due when all individuals are due. However, we highly encourage you to capture the information as you complete each interview.

Telephone or Virtual Interviews

While the interview provides a resource to gain valuable career and leadership advice, it is also a means for networking and increasing your visibility. If conducting the interview virtually, we encourage it via video as opposed to phone if possible. Also, unless well-constructed beforehand, telephone interviews can get stuck in an interrogation-style question and answer format instead of having the seeing one another. That said, do your best to create an environment where all feel most comfortable.

Interviewing Options in SES-Challenged Areas

In prior cohorts, we have asked that participants limit the number of virtual interviews to two. However, given the current conditions, we ask that all parties conduct interviews in a safe manner via whatever means works for both parties.

Options for satisfying SES interview requirements:

- Use Skype or other form of video chat to conduct a virtual face-to-face SES interview.
- Interview the highest-level person in your local department (SES-Equivalent).
- Interview a CEO, Director or top official in a private sector organization.
- Set up interviews with SES while you are on a Shadow Assignment or Developmental Assignment at another location. (You must add time to the DA to make up for time missed from the DA).
- Set up an interview that might coincide with your attendance at another event, training or traveling opportunity.

Group Interviews

Group interviews are often conducted with SES who are frequently sought after for interviews. This allows several individuals the opportunity to get an audience with that senior executive without being overly inundated with requests. The group interview works best if it is limited to no more than four participants, and the group coordinates their questions so that each participant gets to ask the questions about which he or she is most interested.

Steps to Getting an Interview

You can cold call the SES if you are inclined. However, it is usually more effective to go through someone who knows the executive or to contact the executive's scheduler. Before reaching out, make sure to have your interview package prepared. (See suggestions below and resources can be found on D2L.)

1. Prepare your Interview Package
2. Choose SES/CEO to interview.
3. Do your homework and research.
4. Call the executive's office and ask to speak to that person's scheduler or executive assistant.
5. Make note of the scheduler's name and time you talked.
6. Explain to the scheduler your purpose in calling and ask to get on the SESers' schedule. Tell scheduler you have some information to send and get the required email addresses.
7. Email your "Interview Package" to scheduler.
8. If no response, follow up in two weeks.

INTERVIEW PACKAGE*	RESOURCES
• Cover letter (one page) • Introduce yourself • Explain why you're in the EPP • Explain why you want to interview him/her/they • A brief bio (half page) • EPP one-pager (Find under Resources on LMS) • Interview Questions (one page only)	• Senior Executive Association (SEA) • EPP Alumni • Ask supervisor, mentor, EPP Alumni, peers • Collaborate on a group interview • Linked In • EPP Advisor

**Some resources to include in outreach are provided in the resources section of D2L*

Additional Guidelines for Interviewing (and Shadowing)

Be prepared. Use the following tips for getting the most out of the interview:

- When you arrange the interview or shadow assignment, try to obtain copies of the person's bio, organization mission statement, vision statement and strategic plan. Also ask for a standard organizational chart to get an idea of who reports to the manager.
- If the organization has a home page on the web, visit that also. If at all possible, talk to subordinates in the organization to learn the current issues.
- Use the information you have gathered to refine the approach and questions you intend to ask. Do not ask for information you could have easily obtained before coming in. Be ready to sound informed and ambitious.
- Take a few minutes to review your LDP and compare it to the manager's bio and job. Develop possible "follow-up" questions to explore points especially relevant to your goals stated on your LDP.

- Anticipate questions the interviewee might ask. Be ready to describe the EPP in a few clear and concise sentences. Prepared to be interviewed as well. Remember executives are always looking for good people. The interview and shadow assignment are unavoidably two-way affairs.
- Confirm the appointment and/or send an advance letter a few days before the interview or shadow assignment. The letter should let the manager know that you are planning to keep the agreed upon schedule. Include a one-page summary of the EPP and a one-page resume and a list of questions or objectives you hope to accomplish during your time together.
- Send a thank-you note to each person you interview or shadow. It is also a good touch to send one to the secretary or scheduler who may have helped you schedule the event and provided you with any information you may have requested.

The time you have with these executive leaders is a precious resource. These events could ultimately lead to a developmental assignment or promotion. Make the most of it!

Sample Interview Questions – (No Particular Order)

Being prepared with about ten select questions should give you enough to get a good dialogue going. You will find that you will easily come up with additional questions through the natural progression of your discourse. Frame questions around your developmental needs and things you really want to know. Brainstorm with your team members about other good questions to ask. You do NOT need to use these questions.

1. What is the biggest challenge facing leaders today?
2. What role, if any, has mentoring played in your career?
3. What drew you to a career in public service?
4. What drew you to become an SES?
5. Did you encounter any barriers in attaining your SES position? How did you resolve them?
6. How do you encourage creative thinking within your organization?
7. What do you consider the most difficult part of your job?
8. When considering people around you, what one or two things have you learned about motivating, developing and influencing others?
9. What issues keep you awake at night?
10. How would you describe your style of leadership?
11. If you have a strong opinion about something and your peers have a different opinion about the direction, what do you do?
12. Can you name a person who has had a tremendous impact on you as a leader?
13. What is one behavior or trait that you have seen derail a leader's career?
14. What accomplishment are you most proud of?

15. What are the most critical aspects of your job?
16. How has career planning prepared you for your current position?
17. When do you want your legacy to be upon leaving (name of organization)?
18. May I follow up with you later as I move through my leadership development program and career?
19. What advice do you wish someone had told you before you started your first management or leadership position?
20. What has been your average length of stay at your jobs throughout your career?
21. When do you think a person should leave a position? An organization?
22. What books or books would you recommend I read that would better prepare me for senior leadership roles?
23. How do you manage conflict when it arises at your level?'
24. What interpersonal skills work best for you to gain "win-win" situations?
25. What are your three highest priorities for your organization or department in the next five years?
26. Is there some project goal that my most esteemed team can assist your agency in achieving?
27. What would you recommend I focus my leadership development while in the EPP?
28. How do you empower your team for success?
29. How do you balance work and life? How do you help your employees do the same?
30. Every organization has a culture and underlying politics. How have you developed your political savvy and learned some of the unwritten rules of the game?
31. How do you prepare and deal with transition and change?
32. Are there any questions you would like to ask me?

Leadership Book and Report

The review of leadership literature is designed to actively involve the EPP participant in broadening their knowledge of the management and leadership field. The objectives are to:

- Provide an opportunity to dive more deeply into leadership theory and/or practice.
- Learn more about management and leadership issues, trends, and concepts.
- Give time to reflect and discuss leadership challenges and best practices.

Requirements

Each participant will select one leadership book of particular interest and record the choice in the assignments section of the LMS. The final book report should capture the essence of the book, key learnings and reflections. (More books are encouraged during the program but only one is required.)

Books must be selected from one or more of the following criteria:

- The book supports a competency you have identified for strengthening
- The book provides support/knowledge to the team project
- The book enhances your technical proficiency

Developmental Assignment and Report

An EPP Developmental Assignment (DA) serves as a unique work experience where the participant has the opportunity to practice skills and learning in a new and different work environment. These assignments (sometimes called rotational assignments) can be pivotal experiences for EPP participants – offering a unique opportunity to step into another profession, organization or project that offers new perspectives, skills and networks.

Requirement

The EPP participant must complete two 8-week or one 16-week DA outside their department, ideally outside of their own agency. Assignments can include holidays. However, leave or training days/weeks must be made up. Placements can be inside the government sector (other federal agencies, local and state governments) or outside the sector including in the nonprofit and private sectors.* (These settings can provide a contrasting and unfamiliar environment in which to expand one's knowledge as well as put one's leadership skills to the test.)

**Be advised that assignments outside the government may require additional paperwork and authorizations. Please check with your human resources department BEFORE you start looking for an assignment to make sure you are aware of the organization policies and procedures.*

It is the responsibility of the participant to identify and negotiate the DA, and to complete and submit a DA Contract for each assignment. A DA within the participant's own agency is also acceptable as long as the duties, responsibilities, and supervisor are different from those of the participant's position of record. In any case, the assignment must be approved by the sending agency and most importantly tailored to the individual's developmental needs and learning goals.

Note: Developmental assignments cannot be conducted at the Graduate School USA or with its faculty.

Vacation and training periods do not count as part of the required days of the assignment, and days must be added to the DA term if training or vacation occurs during your DA term. If participants wish to interview or shadow someone while on their assignment, they must add the additional days to the tenure. Sick leave does not need to be made up unless five or more days have been taken.

Developmental Assignment Contracts are to be submitted prior to beginning the assignment.

Finding a Developmental Assignment

The value of the DA can depend on the care and thought given to planning, arranging, completing and reflecting on the experience. Participants can start by consulting with their supervisor, mentor and/or agency program coordinator or by contacting prospective offices and solidifying arrangements. Sometimes DA opportunities are posted on the LMS and an announcement will be sent to participants.

Participants should be thoughtful when choosing assignments. Just like taking a job, it is important that the participant interviews with the potential host supervisor to ensure they will be a good fit for each other, and that the participant is getting the kinds of experiences and tasks he or she needs to develop and grow. Participants also need to consider that their expectations may be different than those of the host. ***It is absolutely critical that these expectations are clear before accepting the assignment.*** This is a great opportunity to experience a new culture, observe leadership styles, and expand a network.

The objectives of a developmental assignment are to:

- Provide an experience that by nature of the work and scope of the responsibilities meets their learning and career objectives.
- Strengthens competence to perform well in another position.
- Provides opportunity to develop skills and competencies in areas outside of one's technical expertise
- Provide opportunities to network and represent his/her current office/agency in a new context.

Defining the Developmental Assignment

In defining possible DAs, participants are encouraged to focus on their developmental needs, especially those involving skill building. Skills involve "doing things" rather than just "knowing things." A difficult question is how far outside the current experience the participant wants to go. More questions to consider in developing criteria:

1. What competency or competencies do I want to develop?
2. What types of projects or offices do I know about or others know about where these competencies are central to their function? (Budget, human resources, diversity and inclusion, etc.)
3. What would I like to come away with at the end of the assignment? (Be as detailed as possible)
4. Am I aware of my organization's policies regarding developmental or rotational assignments?
5. What help do I need to move forward with this assignment and where will I find it?

Alternate Work Schedules, Teleworking and the Developmental Assignment

During the DA, the earner is at the grace of the hosting agency. The participant is there to learn and also make a contribution wherever possible. *The participant is also required to adhere to host agency policies and procedures while on assignment.*

Alternate Work Schedule (AWS)

If a participant currently works an Alternate Work Schedule (AWS) and the Hosting Agency agrees to allow the participant to continue the AWS during the DA tenure, the participant should have these terms spelled out clearly in the DA Contract to ensure there is no misunderstanding. Participants should strive to be flexible and reasonable. If the Host Supervisor requests that the participant come in on a day which might be the AWS day, participants should make the compromise to a different day unless there is a compelling reason preventing the participant from doing so. If the Hosting Agency prefers the participant work a traditional work week, and the participant is not willing to do so, then the participant may need to re-think whether this is the appropriate place to do a DA. Most host supervisors are flexible and accommodating and negotiating these points beforehand will make for a smoother transition.

Telework

Given that current conditions require many federal employees to work remotely, developmental assignments in a virtual environment are allowed.

Steps to a Successful Developmental Assignment

Step #1 - Secure an assignment

- Use the LDP to identify areas that you would like to strengthen.
- Determine the kind of organizational location and type of work you seek.
- Check with your human resources department to determine policies and procedures involving developmental or rotational assignments.
- Write a detailed but short “ask” that clearly states as many criteria you would like in the assignment such agency, type of work, location, skills, schedule, etc. Once complete, inform your network including other EPP participants of the type of assignment that you would like.
- Write a resume for use in the search. Outline what you want from the assignment and what you can give in return. Use your strengths to barter for the opportunity to strengthen the competencies that you want to develop.
- Utilize the number of federal resources available such as USA Jobs and others.

Step #2 - Write the Developmental Assignment Contract

- After establishing a possible assignment, meet with the host supervisor and discuss the specifics of the assignment to include:
    - Duties for which you will be responsible
    - Outcomes and expectations
    - Work schedule
    - Person to report to in the office
    - Coordinating a thorough orientation
    - Establishing workspace, IT needs, and security clearance
    - Discussing potential travel arrangements and who pays
    - How to terminate the assignment if necessary
    - The supervisor’s requirement to sign a contract
- Write the contract and get appropriate signatures; submit to GSUSA

Step #3 - Work the Assignment

- Be professional in your work – you are representing your office and the EPP.
- Remember the host supervisor is expecting you to produce a product or manage an activity ---your performance will be judged on your work.
- Communicate, communicate, and communicate!

Step #4 - Complete the Developmental Assignment Report

- Participant is required to write a report (minimum of 3 pages) on the experience.
- The report should include:
    - Name, title, dates, and organization of assignment.
    - Summary of the developmental assignment, including special projects.
    - Relationship of this assignment to the competencies you are trying to strengthen and how the experience helped you attain your learning objective(s).

Step #5 – Secure and submit a host supervisor review for each assignment.

- A template is provided that can be sent to the host supervisor.
- The supervisor can send the form back to the participant so they can upload it to the LMS.
- Send a thank you note/letter to the Host Supervisor.

Delivery Date

The report should be submitted by the end of the program when all individual deliverables are due. We recommend that you fill it out as you go so that you don't keep everything until the last minute!

Shadowing Assignment

An EPP shadowing assignment is an opportunity to observe senior managers in their day-to-day setting. Shadowing differs from a developmental assignment in that the participants is not there to do actual work; but rather to observe the other person. Shadowing is very much what the name implies; the participant follows a senior manager(s) around and observes what a day or several days in the life of the executive looks like.* This is the participant's opportunity to be a sponge or fly on the wall, and to reflect on what the experience offered.

*Note: Given the restrictions required due to COVID19, shadow assignments are more difficult to complete. We recommend that you use your creativity in considering options such as asking to be involved in a behind-the scenes creation of a big event, being invited to a series of meetings around a specific project etc. Though this is not as ideal as following someone around, one can still gain insight into their daily activities. Another option might be observing someone testifying on Capitol Hill if in the Washington, DC area.

The objectives of the assignment are to:

- Provide participants exposure to leadership excellence.
- Provide visibility among federal managers and executives.
- Provide an opportunity to view decision-making styles and problem-solving techniques in a real-world situation.
- Gain experience in communicating with managers/executives in one-on-one situations.

The ideal Shadow Assignment should be done with a person who holds a position or works in a field of interest to you or is known for their outstanding leadership characteristics.

Requirements

1. One three-day Shadowing Assignment with a Senior Executive Service (SES) level or equivalent. ***Alternatively, you may shadow two or three different people on three different days.***
2. Write a paper on the shadowing experiences and submit for review.
3. The Shadowing Assignment paper **must** include:
    a. Name, title, and organization of person shadowed.
    b. Dates of Shadowing Assignment.
    c. Relationship of this assignment to the competencies you are trying to strengthen and how it helped you attain your learning objective(s).
    d. Key learning points and applications to your current and future leadership roles.
4. The Shadowing Assignment paper **might** include:
    a. Outline of a typical day.

b. Notable characteristics that ensure the success of this individual (decision making style, interpersonal sensitivity, and ability to communicate clearly).

Delivery Date

No firm delivery date is defined other than the final delivery date for all individual deliverables. We recommend, however, that you capture details after each experience to include in the final report.

Midterm Self Report

Every participant is responsible for timely compliance with the requirements of the EPP. The purpose of the Midterm Self Report is to give the participant an opportunity to assess his or her own performance by holding himself accountable for measurable, high-quality and timely achievements, and if necessary, to consider initiating corrective action and improvement. The self-report also serves to keep the supervisor apprised of the participant's overall progress and program standing.

The Midterm Self Report should:

- Discuss progress since entering the program, and next steps.
- Include a number or percentage of required assignments completed.
- Identify roadblocks for non-compliance (if applicable).
- Report on the Participant's activities and progress
- Include specific skills and behaviors acquired.
- Include developmental assignment status.
- Include personal success stories.
- Include any comments or concerns.

Requirements

- Approximately 50% of program deliverables should be completed by the mid-year point
- The Midterm Self Report should use the template provided online.
- The Midterm Self Report must be approved and signed by the supervisor before submitting to GS staff.

Delivery Date

Deliver by the date indicated on the Checklist of Deliverables.

The Midterm Self Report MUST be submitted on time, regardless of the number of deliverables completed by the Mid-term date. It is of no use to receive a Midterm report at the end of the program year.

Program Impact Paper

The Program Impact Paper is intended to provide participants with an opportunity to reflect on the year's experiences. It is also an opportunity to share information on your year in the EPP with the Graduate School USA.

Requirements:

The Program Impact Paper should:

- Discuss key learnings in the EPP.
- Reflect on program highlights and major accomplishments. Describe the benefits of the EPP for the Participant's sponsoring agency.
- Describe team dynamics and the participant's contributions to the team.
- Identify personal and professional growth as a result of the EPP experience.
- Discuss future career goals.
- Identify additional training and developmental opportunities for future personal and professional growth.

The Program Impact Paper should be a **minimum of five pages. A template is provided.**

Delivery Date

Deliver by the date indicated on the Checklist of Deliverables.

Submitting Individual Deliverables

The Office of Personnel Management (OPM) lists Written Communication as one of the fundamental leadership competencies. As current and future government leaders, you are expected to deliver written communication that is logical, well-constructed, grammatically correct and free of spelling errors. Papers should focus on analysis and not simply consist of a list of questions and answers, lists or bullet points. ***You should not submit any assignment to us that you would not submit to your superior on the job.***

Written assignments may NOT be accepted, and rewrites may be requested due to:

- Excessive grammatical errors (spelling, punctuation).
- Excessive reproduction of secondary source material, such as competency descriptions, agency background and descriptions and biographical information.
- Lack of sufficient analysis of leadership applications and how you will apply them in personal and career development.
- Required signatures not present.

Signatures

Deliverables that require signatures can be signed electronically or signed and scanned. The final document should be uploaded to the LMS.

Note: A typed name preceded or followed by “/s/” is NOT a valid “signature.”

Electronic Files

All assignments will be managed electronically to reduce the amount of paper handled. They should be uploaded to the LMS via the Assignments section. Notification of activity will be sent to the email on file in the system. (Note: it is the participant’s responsibility to manage their MYGSUSA account and to let the EPP staff know if you are having issues with access.)

For documents with required signatures, scan them or convert them to pdf files. “Wet” signatures or true electronic signatures with numbers will be accepted as valid. Forms with typed names preceded or followed by “/s/” will not be accepted. A document emailed directly from the signature-person to the EPP Advisor will be accepted *as a last resort.*

We cannot guarantee an immediate response to your submissions due to the significant number of assignments received daily. If you have any concerns about your submission or need it attended to in a timely manner, please contact the EPP staff.

File-Naming Convention

Name your files according to the deliverable you are submitting and include your **last name** at the **end** as part of the file name.

Save all files as a PDF document before uploading to D2L.

For example, a Participant named John Smith would submit the following:

- LDP-Smith.pdf
- Mentor Contract-Smith.pdf
- Interview Summary Report-Smith.pdf
- Book Report-Smith.pdf
- ITPP-Smith.pdf
- Midterm Report-Smith.pdf
- Team Lead Report-Smith.pdf
- Shadow Report-Smith. pdf
- DA1 Contract (8wk) -Smith.pdf
- DA1 Contract (16wk) -Smith.pdf
- DA2 Contract (8wk) -Smith.pdf
- DA1 Report-Smith. pdf
- DA2 Report-Smith.pdf
- HSR1-Smith.pdf
- HSR2-Smith.pdf
- ProgImpactPaper-Smith.pdf

Note: If you have the same last name as another Participant, include your first initial as in ProgImpactPaper-JSmith.pdf.

Say for example, your scanned file results in a name like “scan.pdf” or “document.pdf” or “05182014.pdf” - rename the file per these instructions.

The subject of your email should be the same as your filename:

Filename: Interview3-Madden

Email Subject: Interview3-Madden

Team Deliverables

Team deliverables are focused on teamwork – how we learn from and work with others to get things done. Participants are placed on an Action Leadership Team (ALT) at the beginning of the program because the bulk of the work they do together is an Action Leadership Project (ALP). Team members remain on the team for the duration of the program and are selected randomly with the goal of having a diversity of talent, background, gender, and grade level. These ALTs become a critical source of support for team members as well as a mechanism for practicing and observing how we "show up" to others when we are required to do so.

More detailed information about Action Learning and Action Learning Projects is included in the **"EPP Action Learning Handbook."** The following information related to requirements of ALTs beyond the project itself.

Team Deliverables

Each ALT is required to complete a few team deliverables outside their action learning project that include:

- Create and submit a draft and final version of a Team Charter and Agreement. *
- Choose a team leadership book, discuss and deliver a creative presentation about the leadership book for EPP peers during Session II.
- Review individual team project proposals submitted by team members in order to choose one to be the focus for the team's action learning project.
- Write and submit a final report on the ALP. *
- Make a final presentation of the ALP to the sponsoring agency and to peers at Graduate School USA during graduation week. *

*These items are covered in detail in the EPP Action Learning Handbook."

Team Leadership Presentation

During Session I, each ALT selects one leadership book that all members agree to read, discuss and create a team presentation to be delivered during Session II. Teams are encouraged to be creative with this presentation. Each team will have ten minutes and evaluated on creativity and how effective the team is in articulating the key points in the book.

Submitting Team Deliverables on the LMS

Please review and follow general guidelines that apply in the section on "Submitting Individual Deliverables." In addition, for teams:

1. All team deliverables are set up as a "group submission" on the LMS. This means that when the deliverable is submitted by one team member, the rest of the team will automatically be given credit for the submission and be provided the same feedback from the EPP Advisor.

2. Before submitting a team deliverable, designate one person on the team to be responsible for the submission. This is often the team lead at the time, but it is up to the team to decide.

3. If the team has any questions or concerns, please reach out to the EPP Advisor for support.

Appendix

Executive Core Qualifications

The Office of Personnel Management (OPM) has defined the Executive Core Qualifications and identified 28 competencies that are critical to the success of a federal employee. The Executive Core Qualifications are required for entry to the Senior Executive Service and are used by many departments and agencies in selection, performance management, and leadership development for management and executive positions. OPM describes the Executive Core Qualifications (ECQs) and defines the competencies needed to build a federal corporate culture that drives for results, serves customers, and builds successful teams and coalitions within and outside the organization as follows:

Five Components of the Executive Core Qualifications

Leading Change - This core qualification involves the ability to bring about strategic change, both within and outside the organization, to meet organizational goals; Inherent to this ECQ is the ability to establish an organizational vision and to implement it in a continuously changing environment.

Leading People - This core qualification involves the ability to lead people toward meeting the organization's vision, mission, and goals. Inherent to this ECQ is the ability to provide an inclusive workplace that fosters the development of others, facilitates cooperation and teamwork, and supports constructive resolution of conflicts.

Results Driven - This core qualification involves the ability to meet organizational goals and customer expectations. Inherent to this ECQ is the ability to make decisions that produce high-quality results by applying technical knowledge, analyzing problems, and calculation risks.

Business Acumen - This core qualification involves the ability to manage human, financial, and information resources strategically.

Building Coalitions - This core qualification involves the ability to build coalitions to achieve common goals.

Fundamental Competencies

These competencies are the foundation for success in each of the Executive Core Qualifications.

Interpersonal Skills - Treats others with courtesy, sensitivity, and respect. Considers and responds appropriately to the needs and feelings of different people in different situations.

Written Communication - Writes in a clear, concise, organized, and convincing manner for the intended audience.

Oral Communication - Makes clear and convincing oral presentations. Listens effectively; clarifies information as needed.

Integrity/Honesty - Behaves in an honest, fair, and ethical manner. Shows consistency in words and actions. Models high standards of ethics.

Continual Learning - Assesses and recognizes own strengths and weaknesses; pursues self-development.

Public Service Motivation - Shows a commitment to serve the public. Ensures that actions meet public needs; aligns organizational objectives and practices with public interests.

Qualifications and Competencies

Leading Change

Definition: This core qualification involves the ability to bring about strategic change, both within and outside the organization, to meet organizational goals; Inherent to this ECQ is the ability to establish an organizational vision and to implement it in a continuously changing environment.

COMPETENCIES

Creativity and Innovation - Develops new insights into situations; questions conventional approaches; encourages new ideas and innovations; designs and implements new or cutting-edge programs/processes.

External Awareness - Understands and keeps up to date on local, national, and international policies and trends that affect the organization and shape of stakeholders' views; is aware of the organization's impact on external environment.

Flexibility - Is open to change and new information; rapidly adapts to new information, changing conditions, or unexpected obstacles.

Resilience - Deals effectively with pressure; remains optimistic and persistent, even under adversity. Recovers quickly from setbacks.

Strategic Thinking- Formulates objectives, priorities, and plans consistent with long-term business and competitive interests of the organization in a global environment. Capitalizes on opportunities and manages risks.

Vision - Takes a long-term view and builds a shared vision with others; acts as a catalyst for organizational change. Influences others to translate vision into action.

Leading People

Definition: This core qualification involves the ability to lead people toward meeting the organization's vision, mission, and goals. Inherent to this ECQ is the ability to provide an inclusive workplace that fosters the development of others, facilitates cooperation and teamwork, and supports constructive resolution of conflicts.

COMPETENCIES

Conflict Management - Anticipates and takes steps to prevent counter-productive confrontations. Manages and resolves conflicts and disagreements in a constructive manner.

Leveraging Diversity - Foster an inclusive workplace where diversity and individual differences are valued and leveraged to achieve the vision and mission of the organization.

Developing Others - Develops the ability of others to perform and contribute to the organization by providing ongoing feedback and by providing developmental opportunities to learn through formal and informal methods.

Team Building- Inspires and fosters team commitment, spirit, pride and trust. Facilitates cooperation and motivates team members to accomplish group goals.

Results Driven

Definition: This core qualification involves the ability to meet organizational goals and customer expectations. Inherent to this ECQ is the ability to make decisions that produce high-quality results by applying technical knowledge, analyzing problems, and calculation risks.

COMPETENCIES

Accountability - Holds self and others accountable for measurable high-quality, timely, and cost-effective results. Determines objectives, sets priorities, and delegates work. Accepts responsibility for mistakes. Complies with established control systems and rules.

Customer Service - Anticipates and meets the needs of both internal and external customers. Delivers high-quality products and services; is committed to continuous improvement.

Decisiveness - Makes well-informed, effective, and timely decisions, even when data is limited, or solutions produce unpleasant consequences; perceives the impact and implications of decisions.

Entrepreneurship - Positions the organization for future success by identifying new opportunities; builds the organization by developing or improving products or services. Takes calculated risks to accomplish organizational objectives.

Problem Solving - Identifies and analyzes problems; weighs relevance and accuracy of information; generates and evaluates alternative solutions; makes recommendations.

Technical Credibility - Understands and appropriately applies principles, procedures, requirements, regulations, and policies related to specialized expertise.

Business Acumen

Definition: This core qualification involves the ability to manage human, financial, and information resources strategically.

COMPETENCIES

Financial Management - Understands the organization's financial processes. Prepares, justifies, and administers the program budget. Oversees procurement and contracting to achieve desired results. Monitors expenditures and uses cost-benefit thinking to set priorities.

Human Capital Management - Builds and manages workforce based on organizational goals, budget considerations, and staffing needs. Ensures that employees are appropriately recruited, selected, appraised, and rewarded; takes action to address performance problems. Manages a blended workforce and a variety of work situations.

Technology Management - Keeps up to date on technological developments. Makes effective use of technology to achieve results. Ensures access to and security of technology systems.

Building Coalitions

Definition: This core qualification involves the ability to build coalitions to achieve common goals.

COMPETENCIES

Partnering - Develops networks and builds alliances; collaborates across boundaries to build strategic relationships and achieve common goals.

Political Savvy - Identifies the internal and external politics that impact the work of the organization. Perceives organizational and political reality and acts accordingly.

Influencing/Negotiating - Persuades others; builds consensus through give and take; gains cooperation from others to obtain information and accomplish goals.

Code of Student Conduct

Graduate School USA endeavors to provide a safe environment that encourages learning and critical thinking, fosters educational integrity, and promotes goodwill and respectful interaction among all members of the School community. The School's Code of Student Conduct prohibits any actions and/or behaviors that are contrary to this endeavor.

Policy Statement:

Misconduct

Prohibited actions and/or behaviors include but are not limited to the following:

1. All forms of educational dishonesty, including cheating, plagiarism, copyright violation, peer-to-peer file sharing, using unauthorized material on examinations, submitting the same paper for different classes without acknowledgement, the fabrication of information or making up sources, improper collaboration on individual assignments/projects, and facilitation of other students' violations of educational honesty;
2. Forgery, alteration, or misuse of School documents, records, or identification, or knowingly furnishing false information to the School;
3. Obstruction or disruption of teaching, research, administration, disciplinary proceeding, or other School activities, including its public service functions, or of other authorized activities on School premises;
4. Physical and/or psychological abuse or the threat of such abuse of any person on School premises, at off-campus sites or locations, or at School-sponsored activities — or conduct that threatens or endangers the health or safety of any person;
5. Engaging in any form of sexual harassment or assault (see the "Violence and Threatening Behavior" section of the Student Handbook);
6. Acts of harassment — written (any medium used, including but not limited to texting), verbal, or physical — that stigmatize or victimize an individual on the basis of race, ethnicity, religion, sex, sexual orientation, creed, national origin, ancestry, age, mental status, or disabilities;
7. Indecent, lewd, disorderly, or obscene conduct or expression;
8. Participating in or inciting a riot or an unauthorized or disorderly assembly;
9. Seizing, holding, commandeering, or damaging any property of the School or the property of any other person, or threatening to do so;
10. Refusing to depart from any property or facility of the School upon direction by School officials, security officials, property managers, or another person authorized by the president;
11. Unauthorized entry to or use of School facilities;
12. Violation of School policies or regulations, including regulations concerning the registration of student organizations; the use of School facilities; or the time, place, and manner of public expression;
13. Violation of the technology usage policy;
14. Failure to comply with directions of School officials acting in the performance of their duties;
15. Conduct that adversely affects the student's suitability as a member of the School community;
16. Use, possession, manufacture, or distribution of controlled or illegal substances such as marijuana, cocaine, heroin, or look-alike drugs, and use of alcohol contrary to law or to School regulations;

17. Storage, possession, or use of firearms, fireworks, explosives, or weapons of any kind, including replicas or facsimiles, anywhere on campus. Students who are deputized law enforcement officers and are legally qualified to carry firearms may do so while on campus after checking in with Security, and if their presence does not constitute a disruption;
18. Physically detaining or restraining any other person or removing such person from any place where he or she is authorized to remain, or in any way obstructing the free movement of persons on School premises or at School-sponsored activities;
19. Assistance or encouragement of others to commit violations of the Code of Student Conduct;
20. Violating any rule or regulation not contained within the official School publications but announced as administrative edict by a School official or other person authorized by the president;
21. Violation of the School or School's facilities' fire regulations, e.g., failure to comply with emergency evacuation procedures, tampering with fire protection apparatuses, etc.;
22. Theft or attempted theft of School property or the property of any other person on School premises, or knowingly possessing such stolen property;
23. Violation of School policy on solicitation and sales;
24. Violation of School policy on smoking;
25. Violation of any local or federal laws;
26. Failure to report witnessed violations of the Code of Student Conduct;
27. Abuse of the student discipline system, which includes, but is not limited to, failure to appear for a hearing; falsification, distortion, or misrepresentation of information before the hearing officer or committee; disruption or interference of the orderly conduct of student conduct hearings; false accusation of student misconduct; attempting to influence the impartiality of a member of the hearing committee prior to and/or during the hearing process; harassment of witnesses or members of hearing committees; and the like.

PROCEDURES

Reporting Violations

The President and CEO or designee is responsible for the administration of disciplinary procedures. Allegations of violations of School policy are accepted for consideration only when the apparent infraction(s) is/are observed on School property or other locations where the School provides services. Infractions of local and federal laws occurring away from the School or School facilities shall be the sole concern of the civil authorities except when such actions (1) directly affect the health, safety, or security of the School community; (2) affect the School's pursuit of its educational purposes; or (3) occur as a direct result of a School-connected disruption.

Any person may report a student's violation of the Code of Student Conduct to the President and CEO or designee. Reports must be made within two (2) business days of the violation on a Code of Student Conduct Violation Report form. These forms are available from the President and CEO or designee from Center for Leadership and Management.

Review Process

The President and CEO or designee reviews any alleged violation; gives the student the opportunity to present his or her personal version of the incident or occurrence; and will, as appropriate:

1. Dismiss the allegation(s) or
2. Facilitate a resolution or
3. Impose sanctions.

The President and CEO or designee may request a meeting with the student whose conduct is called into question, and the student shall attend such meetings as requested by the President and CEO or designee. The student is notified of all meetings via certified mail at least five (5) business days before the scheduled meeting. Failure to claim any mail will not negate the student's obligations under this procedure. If the student attends the meeting, the President and CEO or designee will discuss the case with the student, including the nature and source of the charges and his or her due process rights. If the student fails to schedule and/or attend the meeting with the President and CEO or designee within ten (10) business days, the President and CEO or designee will proceed with the administrative resolution based solely upon the review of the complaint and in conferral with the appropriate School officials.

The President and CEO or designee may at any time temporarily suspend from the School, or its program, or deny readmission to a student, pending final resolution, when the President and CEO or designee, in his or her sole opinion, believes that the presence of the student on School property or facility could seriously disrupt the School; constitute a danger to the health, safety, or welfare of the School, its members, or the student; or when the student's conduct adversely affects the student's suitability as a member of the academic community. After review of the violation report, the President and CEO or designee will have the authority to impose appropriate discipline and/or act on the School's behalf in facilitating a resolution. The President and CEO or designee shall state the proposed resolution/sanction in writing to the student within five (5) business days of reviewing the complaint. If the resolution involves sanction, the student shall have five (5) days of mailing or seventy-two (72) hours after receipt, whichever is shorter, to accept or reject the proposed discipline by signing the Administrative Resolution form and returning it to the President and CEO or designee. The student's failure to either accept or reject such proposed sanction within the prescribed time frame shall be deemed to be an acceptance; and in such event, the proposed sanction will become final.

Possible Sanctions

Code of Student Conduct violation sanctions may include:

- Oral and written reprimand
- Referral for mandated evaluation and/or counseling to be undertaken at the student's expense
- Warning
- Suspension from the School, or from a School program or activity, for a specific period of time
- Expulsion from the School, or from a School program or activity, on a permanent basis
- Denial of readmission to the School or to a School program or activity

- Restitution
- Probation

Certain Code of Student Conduct violations such as assault, possession of controlled or illegal substances, sexual assault, theft, and any other type of physical violence against another member of the School community (not including self-defense) may result in expulsion. Students who have been sanctioned have the right to follow the appeals process detailed below.

All Code of Student Conduct violations that also violate local or federal law will also be referred to the appropriate authorities.

Appeals to the Student Appeals Committee

1. If the student does not accept the resolution proposed by the President and CEO or designee, the student will have the right to appeal to the Student Appeals Committee. The appeal must include the basis for the appeal and be submitted in writing to the President and CEO or designee within ten (10) business days of rejection of the President and CEO or designee's written administrative resolution. While an appeal is pending, the sanction may be enforced.
2. Upon receipt of an appeal for a Code of Student Conduct violation or an academic grievance, the President and CEO or designee will notify the Moderator of the Student Appeals Committee and provide the student with the Student Appeals Committee procedures. The Moderator will convene a hearing.
3. The Student Appeals Committee will be appointed annually in August by the President and CEO or designee and will serve from September through August. The President and CEO or designee will assign a member of the Committee to serve as Moderator. During any hearing, the President and CEO or designee, at least one staff member, and one student should be present. If deemed necessary by the President and CEO or designee other Committee members may be appointed to a specific case if the appointed members of the Committee are unable to serve during the particular hearing.
4. The Student Appeals Committee will decide whether or not a case warrants a hearing and will either accept an appeal or dismiss it without a hearing. Appeals will be dismissed without a hearing if the Student Appeals Committee finds them to be frivolous, inconsequential, or otherwise without merit, or if the student in question has not followed the proper preliminary steps. In cases involving more than one student, the Student Appeals Committee may (or may not) establish procedures to hear such cases together. However, the Student Appeals Committee will make a separate decision for each student.
5. The procedures utilized shall provide for a timely and fair consideration and resolution of the case. Proceedings are not formal judicial trials. Therefore, formal rules of evidence will not apply; however, evidence submitted must be substantial and relevant to the issue under consideration.
6. If the Student Appeals Committee agrees to hear the case, the Moderator will call a hearing and will give written notice of the meeting by certified mail and/or express overnight to all parties involved. The notice will state the date, time, and place of the alleged incident; a brief description of the incident; the section of the Code of Student Conduct that the incident allegedly violated; the date, time, and place of the hearing; names of persons serving on the Student Appeals Committee; and a list of potential witnesses against the student and the nature of their proposed testimony, unless it is determined that providing the names of witnesses might be a threat to the witnesses' welfare. The

accused student may request the removal of a member of the Student Appeals Committee on the grounds of personal bias by submitting a written statement to the Moderator specifying the basis of the challenge no later than three (3) business days prior to the hearing. The Moderator will determine whether to sustain or deny the challenge. If the request is sustained, a replacement will be appointed by the President and CEO or designee to serve on the Student Appeals Committee.

7. Notices are sent by certified mail with return receipt to the address the School currently has on file in its administrative database. The student is notified through his or her Graduate School USA email account that a notice has been mailed. Failure by the student to have his or her current, local address on record with the program's database shall not invalidate such notice. The notice shall be given at least ten (10) business days prior to the hearing, unless a shorter time is deemed necessary, for a good reason, by the Student Appeals Committee's Moderator.
8. Any request from either party for continuance shall be made at least three (3) business days prior to the hearing date, in writing to the Moderator, who will have the authority to continue the hearing if the Moderator judges the request to be timely and for good cause. Only one (1) continuance will be granted. The Moderator shall notify the parties involved of the new date for the hearing. If the student fails to appear at the scheduled time, the Student Appeals Committee may hear and resolve the matter in his or her absence.

Student Rights in the Student Discipline Hearing

1. *General Statement of Procedures* – The student may have one advisor present at the hearing, such as a faculty member, fellow student, or other advisor of his or her choice, including an attorney. The student shall notify the Moderator of the name of the advisor and the relationship to him or her at least seventy-two (72) hours before the hearing. The role of the advisor is to give any advice he or she believes pertinent to the advisee, and, with approval of the Moderator, the advisor may be permitted to make brief statements and to question witnesses on the student's behalf. The advisor may not represent the student in absentia.
2. *Attorney at the Hearing* – A student who designates an attorney as his or her advisor must notify the Moderator at least seventy-two (72) hours before the hearing so that the School may arrange to have legal counsel present. In addition, the attorney should keep the following in mind: the Committee is not a court of law but an educational panel. It is not obligated to follow formal rules of evidence and procedure. Academic decorum requires an attorney to play a different and more limited role than in a courtroom. Technical objections without substance and emotional or aggressive tactics will not be permitted.
3. *Conduct of the Hearing* – The Moderator will preside at the hearing, call the hearing to order, call the roll of the Committee in attendance, determine that a quorum is present, ascertain the presence or absence of the student charged with misconduct, read the notice of hearing and the charges, and verify the receipt of notice of charges by the student. The Moderator shall verify that the student has been notified by certified mail as set forth in the procedure. If the student has not appeared, the Committee at its discretion may proceed despite the student's absence. The Moderator will report any continuances requested or granted, establish the presence of any advisor of the student, call to the attention of the student charged and his or her advisor any special procedures to be employed during the hearing, and permit the student to make suggestions regarding any procedures to be employed during the hearing or to make objections to them for the Student Appeals Committee to consider.

Rules governing the procedure for conducting student appeals are available in the Participant Handbook given at the start of the program and are provided to all parties involved in an appeal.

EDUCATIONAL HONESTY

Upholding the principles of honesty and integrity in an educational setting is of paramount importance. Since Graduate School USA authenticates the learning that its students and graduates achieve, it is essential that transcripts, records, and the certificates that Graduate School USA awards be based on bona fide student performance. Behavior that undermines integrity and honesty damages the credibility of the School, its students and graduates, and the credentials that they earn. Cheating and plagiarism are fundamentally deceitful and contrary to the values of honesty and taking responsibility for one's own work. Grades and credentials (i.e., certificate) must reflect the work honestly done by each student.

Educational honesty violations are violations of the Code of Student Conduct and as such are reported and reviewed via the Code of Student Conduct and its guidelines.

Cheating

Cheating is the act of obtaining or attempting to obtain credit for educational work by using dishonest means. It includes but is not necessarily limited to:

- Plagiarism (see definition below)
- Submission of work that is not the student's own for papers, assignments, or exams
- Submission or use of falsified data
- Theft of or unauthorized access to an exam
- Use of an alternate, stand-in, or proxy during an examination
- Use of unauthorized material, including textbooks, notes, or computer programs, in the preparation of an assignment or during an examination
- Supplying or communicating in any way unauthorized information to another student for the preparation of an assignment or during an examination
- Collaboration in the preparation of an assignment. Unless specifically permitted or required by the instructor, collaboration will usually be viewed by the School as cheating. Each student, therefore, is responsible for understanding the policies of the department offering any course as they refer to the amount of help and collaboration permitted in preparation of assignments
- Submission of the same work for credit in two courses without obtaining the permission of the instructors beforehand

Plagiarism

Plagiarism includes, but is not limited to, failure to indicate the source with quotation marks or footnotes where appropriate if any of the following are reproduced in the work submitted by a student:

- A phrase, written or musical
- A graphic element
- A proof
- Specific language
- An idea derived from the work, published or unpublished, of another person

COPYRIGHT

It is the intent of Graduate School USA that all members of the School community adhere to the provisions of the United States Copyright Law. Since copyright protection applies to a variety of creative works — printed materials, sound recordings, video recordings, visual artworks, computer software, and others — this policy has been constructed to address issues related to particular types of media. The policy gives the School community broad guidance in the application of copyright law; members of the School community are encouraged to read the law for specific applications. Members of the School community who willfully disregard the copyright policy and copyright law do so at their own risk, assume all liability, and are subject to disciplinary action.

Copyright ownership and the rights thereof are concepts defined by federal law. Copyright is a form of legal protection for authors of original works, including literary, dramatic, musical, artistic, and other intellectual products. Publication is not essential for copyright protection, nor is the well-known symbol of the encircled "c" (©). Section 106 of the Copyright Act (17 USC §106) generally gives the owner of copyright the exclusive right to do and to authorize others to do the following:

- **Reproduce** copies of the work.
- **Prepare derivative works** based on the copyrighted work.
- **Distribute** copies of the work by sale, rental, lease, or lending.
- **Publicly perform** the work (if it is a literary, musical, dramatic, or choreographic work or a pantomime, motion picture, or audiovisual work).
- **Publicly display** the work (if it is a literary, musical, dramatic, choreographic, sculptural, graphic, or pictorial work — including the individual images of a film — or a pantomime).

The copyright owner retains these rights even when the work itself belongs to someone else. However, the rights are not absolute. They are subject not only to "Fair Use" limitations, which apply to all media, but also to medium-specific limitations.

Fair Use

The doctrine of fair use, embedded in section 107 of the Copyright Act of 1976 (17 USC § 107), addresses the needs of scholars and students by mitigating the rights of copyright ownership. However, what constitutes fair use is expressed in the form of guidelines rather than explicit rules. To determine fair use, consider the following four factors [from Fair Use, Free Use and Use by Permission: How to Handle Copyrights in All Media, by Lee Wilson, New York: Random House, 2005]:

1. The **purpose and character** of the use, including whether the copied material will be for nonprofit, educational, or commercial use. (Several courts have held that absence of financial gain is insufficient for a finding of fair use.)
2. The **nature** of the copyrighted work, with special consideration given to the distinction between the creative work and informational work. For example, photocopies made of a newspaper or newsmagazine column are more likely to be considered a fair use than copies made of a musical score or a short story. Duplication of material originally developed for classroom consumption is less likely to be a fair use than is the duplication of materials prepared for public consumption. For example, a teacher or contract instructor who duplicates a workbook page, a textbook chapter, or an assessment instrument is depriving the copyright owner of profits more directly than if duplicating a front-page news article from the daily paper.
3. The **amount, substantiality, or portion** used in relation to the copyrighted work as a whole. This factor requires consideration of (1) the proportion of the larger work that is copied and used, and (2) the significance of the copied portion.
4. The effect of the use on the **potential market** of the copyrighted work. This factor is regarded as the most critical one in determining fair use, and it serves as the basic principle from which the other three factors are derived and to which they are related. If the reproduction of a copyrighted work reduces the potential market and sales and, therefore, the potential profits of the copyright owner, then that use is unlikely to be found a fair use.

Public Domain

Not all works are protected by copyright. In the U.S., most copyrights now last for 75 years beyond the death of the original author. When the copyright for a work expires, it becomes part of the public domain. In addition, all works prepared by an officer or employee of the United States government as part of that person's official duties are public domain; however, works published by U.S. state and municipal governments or other nations may be protected by copyright and thus may not be in the public domain. Other authors may choose explicitly to release their work to the public domain. Public domain works can be used in any way one desires. All works published before 1923 are in the public domain. Others will be added as their copyrights expire. Works that are in the public domain often include a preliminary statement to that effect.

Electronic Media

The 1998 Digital Millennium Copyright Act (DMCA) places additional restrictions on the copying of resources in electronic format. The 2002 Technology, Education, and Copyright Harmonization (TEACH) Act restores some rights for the distribution of materials in electronic format for online education. The TEACH Act says that it is not copyright infringement for teachers and students at an accredited, not-for-profit educational institution to transmit performances and displays of copyrighted works as part of a course if certain conditions are met. If these conditions are not or cannot be met, then use of the material will have to qualify as a fair use or else permission from the copyright holder(s) must be obtained. The exemptions offered by the TEACH Act apply specifically to accredited nonprofit educational institutions and governmental bodies. Those interested in pursuing the distribution of materials in electronic format for online education should carefully review the regulations associated with such use.

Music

U.S. Copyright law grants owners of copyrighted music the exclusive right to perform or to authorize performances of their music publicly. Whenever copyright-protected music is used for purposes other than face-to-face teaching activities, covered by section 110 and the TEACH Act, those uses require permission from the music copyright owners. Uses requiring permission from the music copyright owners include but are not limited to:

- recorded background music in campus facilities through tapes, CDs, and videos;
- music on School Internet or intranet sites;
- music played by School-sponsored ensembles in School facilities; and
- live concerts by guest performers in School facilities, promoted by the School itself.

Most uses of lawfully owned copies of music in face-to-face teaching activities in the classroom or via dissemination through a digital network as an integral part of a class session are permitted, provided certain conditions are met (see the section on electronic media.)

Drama

Dramatic works may not be publicly performed without permission, either in their entirety or in smaller portions, such as excerpts, acts, scenes, monologues, etc. To qualify as a non-dramatic performance, a piece of music taken from a musical play may not make use of any form of staging, choreography, etc., even if the use of any of these elements is not intended to represent any part of the original musical play.

Most uses of lawfully owned copies of dramatic works in face-to-face teaching activities in the classroom or via dissemination through a digital network as an integral part of a class session are permitted, provided certain conditions are met (see the section on electronic media).

Peer-to-Peer File Sharing

In addition to consuming bandwidth and technological resources and exposing the School network to viruses, spyware, and other attacks, peer-to-peer (P2P) file sharing is frequently used for illegally distributing copyrighted works. In an effort to ensure that every student, faculty member, researcher, contract instructor, and contract course developer has access to the computer resources they need and to protect against copyright infringement, Graduate School USA restricts the use of all peer-to-peer, or P2P, file sharing on the campus computer network. The School monitors its network for P2P file sharing activity and disables Internet access for computers found in violation of this policy. Once disabled, a computer's Internet access remains off until its user contacts the IT Help Desk and agrees to abide by the School's computer and network use policy. A second violation results in Internet access being disabled again, and the student discipline process being invoked (or, if an employee or contractor is involved, the appropriate administrator is notified).

Although P2P file sharing can sometimes be used for legitimate reasons, any use of P2P software on the campus network may result in Internet access being disabled under this policy. Individuals who need to use P2P software for legitimate purposes can discuss their needs with the IT Help Desk.