

Change Initiative Workbook

*Transportation Security Administration
Mid-Level Leadership Development Program*



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Created by the Mason Institute for Leadership Excellence at George Mason Leadership

For more information contact:

Ellen Fulton, ellen@washingtoncoachinggroup.com, 703-362-0256

Mid-Level Leadership Development Program

The Mid-Level Leadership Development Program (MLDP) is TSA's leadership development initiative aimed at building the next generation of mid-level leaders within the organization. The purpose of the MLDP is to prepare participants for critical leadership positions through concentrated and focused training, shadowing, mentoring, and other developmental opportunities. The focus of MLDP is to build leadership bench strength capable of replacing leaders who retire and/or leave, as well as retain experienced personnel with strong, demonstrated leadership skills. TSA is continuing to develop and implement a systematic succession planning system that will build diversity among its workforce, and specifically within the ranks of leadership.

What are the main components of the MLDP?

The MLDP focuses on creating deeper self-awareness, and developing the ability to guide and influence others, lead teams, and lead change. Each participant develops a customized Change Initiative plan during the program and works one-on-one with a leadership coach in the weeks following the program to help with integration and implementation of the newly acquired knowledge. The MLDP consists of the following components:

Leading with Strengths. Participants will be introduced to the principles of leadership and the importance of strengths and virtues in leadership development. Leaders will explore techniques to engage and align strengths to improve individual and organizational performance. This strengths-based approach to leadership development is very different from the "deficit-based" approach used in many development programs. Examining what leaders do well rather than what they do wrong can provide a basis for flourishing and sustainable well-being. Leaders can be most effective when their strengths are aligned with expectations and the context within which they provide leadership. By the end of this period of instruction, participants will:

- Increase awareness of strengths approaches and applications using the Strengths Finder assessment
- Increase understanding of personal strengths and the importance of maximizing individual and other's strengths
- Develop a clearer understanding of the relationship between strengths, employee engagement, and productivity

- Increase participants' sensitivity to the unique differences among people's strengths as opportunities to seize versus problems to solve
- Understand complementary partnerships with strengths and practice the application of complementary partnerships
- Learn how to apply strengths in leadership and team contexts
- Learn how to shape a strengths-based culture

Leading People and Teams with Influence. Participants will explore motivations, influencing methods, and team leadership approaches from a strengths perspective. By understanding the different leadership and team decision making styles and their impact on influencing others, participants can expand the tools they use to reach more individuals. The group will also explore the importance of networking and its impact on one's ability to influence and lead teams. One of the most important determinants of leadership effectiveness is success in influencing people and teams. By the end of this period of instruction, participants will:

- Understand Influence strategies for creating a high commitment workforce
- Build networks to increase your leadership effectiveness
- Discover your preferred style and how your strengths influence your leadership style
- Learn how to lead teams to make effective group decisions
- Learn how your leadership style and strengths can help you build shared understanding and commitment
- Expand your methods for influencing others

Leading Change. Program participants will be encouraged to think more deeply about shifts they want to make within their organizations. They will have the opportunity to create a change agenda for implementation. This session will explore the importance taking a more systemic approach to change. The group will discuss how to create a more appreciative and positive dialogue about these shifts as a way to lessen the resistance most change creates. Learning Outcomes include: By the end of this period of instruction, participants will:

- Explain principles and processes for leading change.

- Demonstrate methods to lead change.
- Appreciate the time investment required to lead change.
- Become aware your approach and dispositional reactions to change.
- Understand resistance to change.
- Begin to identify strengths, knowledge and skills needed to effectively lead change.
- Take away tools for change.

Leadership Coaching. Training accompanied by coaching significantly improves performance in contrast to training alone. Certified leadership coaches work with individuals to challenge them as they expand their vision for professional growth and apply leadership concepts learned in the MLDP.

Aligning to Competencies

A well-defined competency framework aligned with an organization's strategic priorities provides the basis for improving both organizational and employee performance. This improvement can be influenced by various approaches depending on the organization's needs:

- A core competency model supports the development of those critical core competencies that are required by an organization to achieve its defined strategy
- A technical/functional competency model supports the development of technical, role-specific competencies that enable an organization to execute more effectively
- A leadership competency model supports the development of key leadership capabilities in order to build leadership impact (and bench strength) within the organization

The MLDP will leverage TSA's Leadership Competencies (appendix A) to aid participants in designing a Change Initiative that supports the broader objectives of the organization, as well as providing the basis for the development of personal leadership skills. The following success factors should be considered as you align your Change Initiative to TSA competencies:

- Limited to a set of critical competencies that align to strategic intent
- Simple, pragmatic, and easy to use
- Integrated with and used as the foundation for people processes
- Systematically implemented and communicated

MLDP Framework

The MLDP framework leverages the organization's strategic plan to provide greater relevance to the educational process. Strategic planning is an organizational management activity that is used to set priorities, focus energy and resources, strengthen operations, ensure that employees and other stakeholders are working toward common goals, establish agreement around intended outcomes/results, and assess and adjust the organization's direction in response to a changing environment. It is a disciplined effort that produces fundamental decisions and actions that shape and guide what an organization is, who it serves, what it does, and why it does it, with a focus on the future. Effective strategic planning articulates not only where an organization is going and the actions needed to make progress, but also how it will know if it is successful. A well-developed strategic planning process is comprised of the following elements:

- **Vision.** Your vision communicates what your organization believes are the ideal conditions for your organization. By developing a vision statement, your organization makes the beliefs and governing principles of your organization clear to the greater organization.
- **Mission.** An organization's mission statement describes what the group is going to do, and why it's going to do that. Mission statements are similar to vision statements, but they are more concrete, and they are definitely more "action-oriented" than vision statements. While they don't go into a lot of detail, they start to hint - very broadly - at how your organization might go about fixing the problems it has noted.
- **Strategic Priorities.** Strategic Priorities are ranked *organizational* goals and objectives.
- **Strategies.** Strategies explain how the initiative contributes to the strategic priority. Generally, organizations will have a wide variety of strategies that include people from all of the different parts, or sectors, of the organization. These strategies range from the very broad, which encompass people and resources from many different parts of the organization, to the very specific, which aim at carefully defined areas.

- **Goals.** A goal is the end toward which the program is directed. It is the general statement of a long-range purpose. Goals should directly address needs. Goals are outcome-oriented rather than process-oriented. They clearly state, specific, measurable outcome(s) or change(s) that can be reasonably expected at the conclusion of a methodically selected intervention.
- **Objective.** An objective is a statement of the results to be achieved, and includes a time frame, target of change, specific results to be achieved, method of measuring the results, and criteria for successful achievement. Objectives state results that, when accomplished, lead to the goal. Objectives should be stated in ways that describe what you will do and how you will do it.
- **Actions.** Finally, actions describe in great detail exactly what will be implemented to accomplish the objectives. Actions are the tangible steps you take to ensure the success of your Change Initiative; the specific action steps necessary to bring about changes in all of the relevant sectors, or parts, of the organization. The Change Initiative plan is comprised of:
 - Action(s)
 - Person(s) responsible
 - Date to be completed
 - Resources and support required
 - Barriers or resistance, and a plan to overcome them!
 - Collaborators

Aligning the MLDP to the TSA Strategic Plan

An example of Strategic Priorities and Strategies is illustrated in the following chart, and was extracted from the statement of Melvin Carraway, Acting Administrator of the TSA, before the Committee on Appropriation, Subcommittee on Homeland Security, on March 19, 2015.

TSA Strategic Plan		
Vision. Provide the most effective transportation security in the most efficient way as a high performing counterterrorism organization	Mission. Protect the Nation’s transportation systems to ensure freedom of movement for people and commerce	
Strategic Priorities		
1. Risk-Based Security	2. Workforce Engagement	3. Department-Wide Initiatives
Strategies		
1.1. Reduce number of lanes 1.2. Smaller, more professional workforce 1.3. Prioritize inspection activity	2.1. Expand TSA Academy 2.2. Hire/train additional FAM	3.1. Cybersecurity 3.2. Watchlist services

Your participation in the MLDP will require you to examine your organization and align your peer partner and cohort’s activity to best support your organization’s Strategic Plan. Once identified, you will develop the Change Initiatives with the necessary steps to bring lasting change to your organization. The relationship of these steps is reflected in the following hierarchy:

Strategy											
Goal						Goal					
Objective			Objective			Objective			Objective		
Action	Action	Action	Action	Action	Action	Action	Action	Action	Action	Action	Action

As you progress through the MLDP, consider what success will look like for both yourself as well as your organization. Use the Change Initiative plan and your individual development plan (IDP) to clearly define your “as is” (current) and “to be” (desired) states, and design a plan to help close the gaps between these two states.

Developing a Change Initiative for your MLDP

This guide is designed to help you create a Change Initiative for your MLDP. A Change Initiative developed early in the training will ensure that everyone who can support the transfer of learning is involved from the beginning. The plan is refined during training and usually is not completed until after the event when participants are implementing new skills on the job. The content and layout of a change initiative should support the users of the plan, especially the participants. In developing a change initiative, keep in mind these important points:

1. Write activities as discrete steps that are realistic, measurable and attainable.
2. Identify clear responsibilities for participants, supervisors, co-workers and trainers.
3. Develop a specific time schedule for completing activities.
4. Identify resources necessary to complete the activities, including plans for acquiring those resources.

It is worth noting that many participants use a learning journal to help facilitate the development of a change initiative plan. A learning journal is a notebook in which participants document issues, problems, additional needs for skills development and questions that arise as new knowledge and skills are applied on the job.

Step 1. Establish your peer learning team.

Within your cohort, you will work closely with a peer partner, and receive additional support from other members of your cohort and developmental team. Studies in peer learning have shown it to be highly effective in boosting motivation, focus, and depth of understanding. The cognitive process of explaining solutions, and dealing with questions and misunderstandings will help to embed knowledge further into your memory and enhance your own understanding of the subject. This process can result in 'deep learning', which is retained by your long term memory, rather than 'surface learning', where information can dissipate from your memory shortly after class. Deep learning is important for your MLDP studies. Not only do you need to carry forward knowledge and understanding for your immediate development, but the skills and strategies you learn from this experience will continue to benefit you as you progress to be senior managers for your organization.

Step 2. Conduct a SWOT analysis.

A SWOT (Strengths, Weaknesses, Opportunities, Threats) analysis is a simple but useful framework for analyzing your organization's strengths and weaknesses, and the opportunities and threats that you face. It helps you focus on your strengths, minimize threats, and take the greatest possible advantage of opportunities available to you. It can be used to initiate a project, or in a more sophisticated way as a serious strategy tool. When carrying out your analysis, be realistic and rigorous. Apply it at the right level, and supplement it with other option-generation tools where appropriate.

The SWOT analysis begins by conducting an inventory of internal strengths and weaknesses in your organization. You will then note the external opportunities and threats that may affect the organization, based on your position and the overall environment. Don't be concerned about elaborating on these topics at this stage; bullet points may be the best way to begin. Capture the factors you believe are relevant in each of the four areas. The primary purpose of the SWOT analysis is to identify and assign each significant factor, positive and negative, to one of the four categories, allowing you to take an objective look at your organization and personal knowledge, skills, and abilities. The SWOT analysis will be a useful tool in developing and confirming your goals and your action steps. Use Appendix B to conduct a SWOT analysis for your Change Initiative.

Step 3. Define your goals.

A goal is a statement about the purpose toward which your efforts are directed. Goals tend to be broad statements about the overall purpose of an effort, and may not be strictly measurable or tangible. Identify what your peer team wants/needs to achieve by addressing this issue. Write your goals for this Change Initiative by discussing these questions:

- What is the desired status or outcome for this priority area?
- What are we trying to achieve for our organization?
- What do we need to do in this area to significantly change the way things are right now and move toward our vision of how things should be?

Ensure your goals are consistent with your mission, aligned with your values, and describe the desired performance.

Step 4. Identify stakeholders.

A stakeholder is anybody who can affect or is affected by your project. They can be internal or external and they can be at senior or junior levels. Brainstorm a list of potential stakeholder and determine which of these may be able to provide additional support to your change initiative during your MLDP training. Try to be as inclusive as possible. Use Appendix C to help you identify and document the stakeholders for your change initiative. Keep these questions in mind as you complete this exercise:

- Does the stakeholder have a fundamental impact on your organization's performance?
- Can you clearly identify what you want from the stakeholder?
- Is the relationship dynamic – that is, do you want it to grow?
- Can you exist without or easily replace the stakeholder?

Identifying and understanding your stakeholders and their equities will increase the efficiency and impact of your Change Initiative.

Step 5. Brainstorm specific changes you want to see occur.

When used during problem solving, brainstorming brings team members' diverse experience into play. It increases the richness of ideas explored, which means that you can often find better solutions to the problems that you face. It can also help you get buy-in from team members for the solution chosen – after all, they're likely to be more committed to an approach if they were involved in developing it. Use Appendix D to help you conduct an efficient and effective brainstorming session, and employ the following steps:

- Lay out the problem you want to solve
- Identify the objectives of a possible solution
- Try to generate solutions individually
- Once you have gotten clear on your problems, your objectives, and your personal solutions to the problems, work as a group.

The results of your brainstorm will be used to develop objectives and to select strategies for your change initiative.

Step 6. Write SMART Objectives that will focus your actions.

Next, your change initiative team will define what the organization wants/needs to achieve by developing objectives aligned with your goals. An objective is a statement about what specifically your efforts or actions are intended to attain or accomplish. The objective moves you toward your overall goal(s), and is also measurable and tangible (concrete). You will develop SMART Objective(s) defining the degree of change, type of change, by whom, and by when that will be inserted into your change initiative templates.

SMART Objectives	
S	Specific – specify what is to be achieved, by how much, and by when
M	Measurable – make sure that the objective can be measured (i.e., data is or will be available to measure progress)
A	Achievable - set objectives that are feasible for the agency
R	Relevant - align objectives with the mission and vision of the agency
T	Time-oriented - establish a timeframe for achieving the objective

Objectives complement goals in the following ways

Goal vs. Objective Comparison Chart		
	Goals	Objectives
Meaning	The purpose toward which an endeavor is directed	Something that one's efforts or actions are intended to attain or accomplish; purpose; target
Example	I want to achieve success in the field of genetic research and do what no one has ever done	I want to complete this thesis on genetic research by the end of this month
Action	Generic action, or better still, an outcome towards which we strive	Specific action - the objective supports attainment of the associated goal
Measure	Goals may not be strictly measurable or tangible	Must be measurable and tangible
Time Frame	Longer term	Mid to short term

Objectives build upon one another like building blocks toward achieving your goal. By achieving your short term objectives, you will contribute to the longer term strategies of your organization. When we write objectives that are well aligned, we usually start with the longer term strategic objectives and work backward to determine what needs to happen in the short-term and mid-term. Use Appendix E to develop SMART objectives for your Change Initiative.

Step 7. Identify action step for your Change Initiative.

Action steps are those tangible actions you take to achieve each objective. These are action-oriented phrases that describe the manner in which the objective will be approached. Whereas the objective is WHAT you are going to do, the action is HOW you will do it. Using Appendix F, for each objective, you will choose one or more action steps that will help you accomplish this objective. The action steps are the last “link” in the chain. If possible, try to select action steps that have evidence (research and data that prove that this action really works) that they can create the change (outcome) you are targeting in your objectives

Step 8. Complete a detailed Change Initiative plan.

The plan should be complete, clear, and current. Additionally, the change initiative should include information and ideas you have already gathered while brainstorming about your objectives and your strategies. What are the steps you must take to carry out your objectives while moving toward your vision? The change initiative will help you determine the specific actions you will take to help make your vision a reality, through accomplishing each of your objectives. Here are some guidelines to follow to write action steps.

Your change initiative team will determine the following details for carrying out your intervention strategies:

- *What* specific action or change will occur
- *Who* will carry it out
- *When* it will take place, and for how long
- *What* resources (i.e., money, staff) are needed to carry out the change
- *Communication* (who should know what)

Using the Change Initiative Worksheet Guidance (appendix G), complete a Change Initiative Worksheet (Appendix H) for your Change Initiative.

Step 9. Validate your Change Initiative to organizations competencies

Your change initiative will need to be adapted to the specific cultural characteristics of your organization. The process of 'cultural tailoring' takes into consideration the beliefs, values, and circumstances of the specific cultural practices of people within your organization. It is the process of developing programs in a culturally relevant context. Ask yourselves if the strategy you are considering for your plan fits with the core areas of values reflected. If not, develop a list of changes or modifications to the strategy that you would need to make in order for it to be a good fit.

For each strategy you are thinking about including in your change initiative, ask yourselves if there are ways you could ensure:

- Cultural values are reflected in goals and activities
- Modes and style of communication fit cultural norms
- Language is integrated throughout the activities
- Location of meetings and activities are appropriate for your target audience
- Appropriateness of activities and intervention goals are based in cultural beliefs

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Appendix A. TSA Leadership Competency Definitions

Accountability. Assures that effective controls are developed and maintained to ensure the integrity of the organization. Holds self and others accountable for rules and responsibilities. Can be relied upon to ensure that projects within areas of specific responsibility are completed in a timely manner and within budget. Monitors and evaluates plans, focuses on results and measuring attainment of outcomes.

Conflict Management. Encourages creative tension and differences of opinions. Anticipates and takes steps to prevent counter-productive confrontations. Manages and resolves conflicts and disagreements in a constructive manner.

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 are limited or solutions produce unpleasant consequences; perceives the impact and implications of decisions.

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

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

Leadership Capacity. Instills mutual trust and confidence; creates a culture that fosters high standards of ethics. Behaves in a fair and ethical manner toward others, and demonstrates a sense of corporate responsibility and commitment to public service.

Leveraging Diversity. Recruits, develops, and retains a diverse high quality workforce in

an equitable manner. Leads and manages an inclusive workplace that maximizes the talents of each person to achieve sound business results. Respects, understands, values and seeks out individual differences to achieve the vision and mission of the organization. Develops and uses measures and rewards to hold self and others accountable for achieving results that embody the principles of diversity.

Operations Management. Application of specialized knowledge of laws, procedures, practices, relevant to managing and executing programs in an operational environment.

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

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

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

Appendix B. SWOT Analysis.

State what you are assessing here:

<u>Strengths</u> What do you do well? What unique resources can you draw on? What do others see as your strengths?	<u>Weaknesses</u> What could you improve? Where do you have fewer resources than others? What are others likely to see as weaknesses?
1.	1.
2.	2.
3.	3.
4.	4.
<u>Opportunities</u> What opportunities are open to you? What trends could you take advantage of? How can you turn your strengths into opportunities?	<u>Threats</u> What threats could harm you? What is your competition/adversary doing? What threats do your weaknesses expose you to?
1.	1.
2.	2.
3.	3.
4.	4.

Appendix D. Team Brainstorming Outcomes and Objectives

What changes must occur in order for us to impact this strategic issue (priority)?

- *What awareness must be increased or created and with whom?*
- *What knowledge or skill must be improved and by whom?*
- *What behaviors must change? How and by whom?*
- *What policies must be changed?*
- *What types of system changes (think big systems, such as social system, health care system, employment system, government system, etc.) are needed?*

List ideas you have about strategies (programs, policies, changes in structures, rules, and procedures) that may be implemented to create the type of outcomes you have just brainstormed above (how could you get each of these changes to occur?). Be SPECIFIC and REALISTIC.

1. _____
2. _____
3. _____
4. _____
5. _____

Change can be hard. People often resist change. While trying to implement your change initiative, you will encounter resistance and some barriers. Take some time to identify potential barriers you may face for each of the changes you brainstormed earlier. This process will help you to acknowledge which changes may be more realistic and feasible, to plan for necessary resources, and think of ways to be strategic about implementing your change initiative.

What are the potential barriers to this work and how might they be overcome?	
Potential Barrier	Solution to Barrier

Appendix E. SMART Objectives

Appendix E. SMART Objectives	
Objective #1	
What will change?	
By how much?	
For whom?	
By when?	
Objective #2	
What will change?	
By how much?	
For whom?	
By when?	

Appendix F. Develop Action Steps

Appendix F. Develop Action Steps		
	Action Steps	Notes
Objective 1	1. 2. 3.	
Objective 2	1. 2. 3.	
Objective 3	1. 2. 3.	

Appendix G. Change Initiative Worksheet Guidance

Strategic Direction/ Priority Area:	Enter here the top priorities your organization selected to address at this time.
Strategic Issue:	Enter here the strategic issues your organization selected as a priority to address at this time related to this strategic direction.
Goal:	A broad statement of what you hope to accomplish related to this priority area.
Performance Measures:	Demonstrate in this section how you will know you are making progress. State specifically what you will measure to determine whether changes have occurred.
Objectives:	Describe the specific measurable end-products of your intervention. Objectives should be SMART: specific, measurable, achievable, realistic, and time-framed.
Background:	Document the type of strategy you are using. Cite any evidence-base for the strategy. Cite if the strategy is a policy change (required for public health accreditation). You may also choose to provide a link to any program sites as applicable.
Activity:	Outline the steps you will take to achieve each objective. The activities are the “how” portion of the change initiative. It is best to arrange activities chronologically by start dates. Place each activity in a separate row and add as many rows as you need to the template.
Timeline:	State the projected start and end date for each activity.
Resources Required:	Include all resources needed for this action step. (Examples: funding, staff time, space needs, supplies, technology, equipment, and key partners.)
Lead Person/ Organization:	Identify by name the key person who will initiate the activity, provide direction for the work, and monitor progress.
Anticipated Result:	Describe the direct, tangible and measurable results of the activity (ex: a product or document, an agreement or policy, number of participants)
Progress Notes:	Track progress of completion of activities. Also note any unexpected outcomes, both positive and negative.
Alignment:	Show the alignment between your organization’s priority area and both state and national priorities. You can cite the specific objectives listed at these sites above under Helpful Resources.

Appendix H. Change Initiative Worksheet

Date Created:	Date Reviewed/Updated:	
Strategic Priority:		
Goal:		
Objective:		
Performance Measure: How We Will Know We are Making a Difference		
Indicators (Measures of outcomes)	Data Source	Frequency

OBJECTIVE _____					
BACKGROUND ON STRATEGY					
Source:					
Evidence Base:					
Policy Change (Y/N):					
Linkages to other plans:					
CHANGE INITIATIVE					
Action Step/Activity	Target Date	Resources Required	Lead Person/ Organization	Anticipated Product or Result	Progress Notes

Describe plans for overcoming challenges/barriers and sustaining action

A large, empty rectangular box with a black border, intended for writing a response to the prompt above.

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