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## THURSDAY SESSIONS VOLUME II

### **Learning in the Shadows: A Retrospective View**

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## Panel 20. Analyzing and Incentivizing Performance Outcomes

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Thursday, May 5, 2016	
3:30 p.m. – 5:00 p.m.	<p><b>Chair: Mark Deskins</b>, Director, Acquisition Career Management, ASN(RD&amp;A)</p> <p><b><i>Big Data Analysis of Contractor Performance Information for Services Acquisition in DoD: A Proof of Concept</i></b></p> <p>Uday Apte, Professor, NPS Rene Rendon, Associate Professor, NPS Mike Dixon, Assistant Professor of Operations Management, Ivey Business School</p> <p><b><i>Knowledge, Experience, and Training in Incentive Contracting for the Department of Defense</i></b></p> <p>Kevin Carman, Dean, DAU Randall Gibson, Professor, DAU</p> <p><b><i>Learning in the Shadows: A Retrospective View</i></b></p> <p>Donna Kinnear-Seligman, Mission Assistance Program Analysis Manager, DAU</p>



# Learning in the Shadows: A Retrospective View

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- Challenges in Meeting OSD's Obligation & Expenditure Rate Goals (*ARJ*, October 2013)
- OSD's Obligations and Expenditure Rate Goals (*AT&L*, August 2013)
- Learning Organizations (*ARJ*, April 2013)
- Human Capital Accelerators (*AT&L*, March 2011)
- It's Time to Take the Chill Out of Cost Containment (*ARJ*, April 2010)

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## Abstract

How does the Acquisition Workforce train and create experience for the next generation? This research addressed how the Defense Acquisition University (DAU) develops its emerging leaders among its support faculty and staff. Through a retrospective view of the emerging leadership program in particular, the author investigated the value and impact of the program details and the resulting effect it had for the Emerging Leader Program (ELP) graduates. ELP graduates were invited to participate in a survey to quantify their ELP experiences and express any concomitant value for the DAU. Focusing on the various ELP activities coupled with Better Buying Power's emphasis on professional development to reinforce the importance of improving workforce professionalism, this paper assessed the outcomes of the DAU's ELP over the course of six years. Originally, the ELP was intended to create a development pathway. Has it?

## Issue

Like any Human Capital development program, is the investment worth it? After completing the Emerging Leader Program (ELP) at the Defense Acquisition University (DAU), were graduates able to influence leadership (a key indicator of leadership performance) with their new skill sets? Additionally, how many graduates actually achieved advancement or became more competitive for various leadership positions? The DAU has conducted a total of six year-long ELP sessions and by the end of FY16 will have graduated 58 emerging leaders.

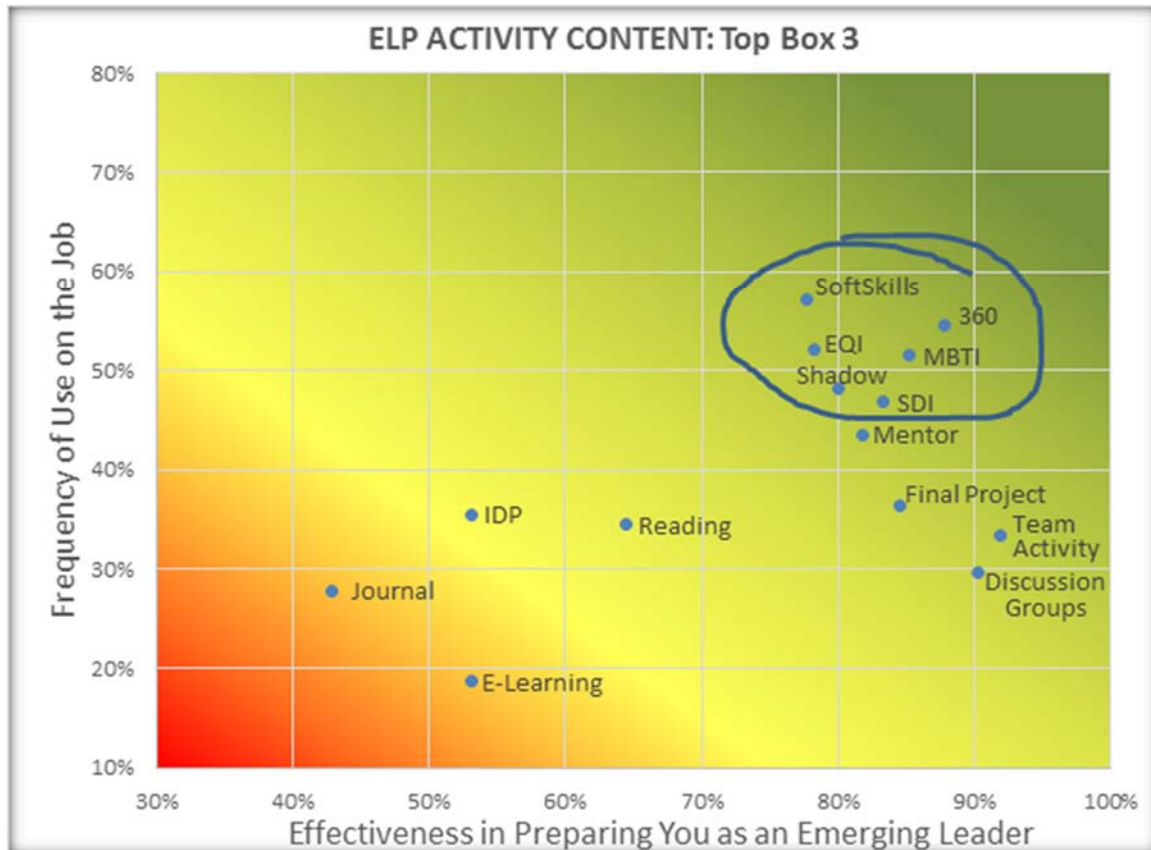
## Results

This research confirmed the ELP's effectiveness and identified the impact along with its efficacy through a variety of metrics. The research results also quantified the specific learning experiences that surfaced. What was the single most influential factor for ELP graduates that gave them enough momentum to move forward as a future influencer/leader? Beyond what the ELP graduates actually experienced in the way of workplace influence, they also addressed how they felt about the program overall. The results of this research can provide very useful insights for future ELP candidates as well as the ELP program itself.

Figure 1 displays how ELP graduates rated the ELP program activities. Those activities earning the highest survey ratings are circled. The participants found self-assessments—such as the DDI 360 Leadership Mirror® (360), Myers-Briggs Type Indicator



Assessment (MBTI), etc.—effective, largely because they allowed for self-awareness and self-managed change according to the qualitative comments. Additionally, the soft skill unique training and shadow experiences appeared to be influential program components. The soft skills workshops and associated assessments provided an experiential platform as well as some intellectual muscle for emerging leaders as they developed even further.



**Figure 1. Emerging Leader Program (ELP) Activity Content**

### Background

The DAU conducts an internal climate survey every two years. Based on the required improvements, climate survey improvement teams are normally instituted to address suggestions and take any necessary action as a result. In 2009, the DAU’s Climate Survey Improvement (CSI) team noted a trend of lower staff satisfaction in comparison to faculty. After a closer look, DAU staff had identified the need for “more recognition” and the ability to “influence decisions” affecting their contributions in their respective workplaces. DAU staff appeared less optimistic about their future opportunities at the DAU. The CSI team recommended that the DAU develop a “Future (Emerging) Leader Program” (Seligman, 2009).

Recognizing that Gen-X and Millennials bring a change in leadership responsibility mindsets while having less experience at the same time, DAU leadership decided to pilot an “Emerging Leadership Program” in 2011. After the pilot, the staff participants generally felt the program helped them bridge the opportunity gap they previously experienced. Today, the DAU’s ELP Charter and Introduction states the program will provide “experience and knowledge that fosters professional and personal growth ... and ... prepares select DAU



employees for positions of increasing responsibility” (Fowler, 2015). Since its inception, the DAU has continued its investment in the ELP over the last six years to further develop DAU staff members.

This research is the first effort that measured organizational learning outcomes by evaluating/assessing the perceived effectiveness of constituent ELP activities and participant comments after graduation.

### ***Emerging Leadership Program Specifics***

Participation in the ELP is competitive. If accepted, ELP selectees are exposed to a wide range of leadership competencies. During a year-long program, ELP participants meet once a month virtually, and twice face-to-face to discuss them. The two face-to-face meetings are reserved for the first and last meetings. The virtual forums help pace the participants through the various ELP program activities. The program is designed to strengthen seven core competencies:

1. Customer Service
2. Communications Skills
3. Interpersonal Skills
4. Flexibility/Adaptability
5. Problem Solving
6. Developing Others & Continuous Learning
7. Integrity & Honesty

Below are 14 ELP activities along with a brief description for each:

- **Discussion Groups:** ELP participants meet virtually to cover program activities and check on ELP progress. The first discussion group is face-to-face to help establish a trusting relationship among the ELP participants and set a foundation for the team building ahead. Several of these meetings include visits/roundtables with the DAU’s most senior leadership.
- **Myers-Briggs Type Indicator Assessment® (MBTI®):** Self-assessment that accounts for 16 distinctive personality types. Through a self-assessment survey, participants identify their own preference. During the workshop, they learn different ways of leveraging their personality preferences with those of others.
- **Strength Deployment Inventory (SDI):** A self-assessment that helps participants better understand a wide range of their own behavioral preferences and better understand how they may react when faced with conflict and turbulence. ELP participants also discuss how their own SDI relates to those within their DAU leadership.
- **Individual Development Plan (IDP):** The ELP IDP is a more extensive version of the DAU IDP. ELP participants develop extensive short term goals and identify specific developmental assignment prospects. The IDP is then coordinated with supervisors and the principle ELP Coordinator.
- **Journal:** Journals are not required or submitted for completion, but rather encouraged as a tool to capture thoughts and experiences during the ELP since they support discussion groups and the ELP student’s final project.
- **DDI 360 Leadership Mirror® (360):** The 360 is a web-based multi-rater feedback system which maintains confidential, anonymous feedback from the



ELP's peers, managers, and anyone who may be reporting to them (formally or informally). This assessment report allows participants to uncover any blind spots and make adjustments.

- **Team Activity:** The ELP participants are assigned a topic to present. The presentation is delivered as part of the capstone activity and represents another opportunity to practice some of the skills acquired during the program.
- **Emotional Quotient Inventory (EQI):** This self-assessment is designed to measure emotional-social intelligence. The report produces an overall EQ score as well as separate scores for Intrapersonal (self-awareness and self-expression), Interpersonal (social awareness and relationships), and Stress Management (emotional management).
- **E-Learning Curriculum (e-Learning):** This e-Learning curriculum is supported by a suite of courses located in the DAU's intranet through "Skillport." The curriculum is mapped to the competencies identified for the ELP participant. Completion of one course is required each month.
- **Reading Report:** The readings are selected from the ELP reading list and require a written report. The report summarizes the key learning points and practical leadership application of the content.
- **Soft Skill Workshops:** In this series of workshops, the ELP students learn strategies they may not experience in their on-the-job training. Students participate in workshops such as Crucial Conversations®, Crucial Confrontations®, Influencer Training™, or Crucial Accountability®, all taught by certified Vital Smarts trainers. Some ELP groups have also experienced Leading at the Speed of Trust® by Franklin Covey.
- **Mentor:** ELP participants propose a leadership mentor for approval by the ELP Coordinator. ELP participants record mentor observations in a journal and create a one page summary report of the journal entries.
- **Shadow:** The "shadow" is an on-the-job assignment of "job shadowing" a supervisor who has a job related to the staff's current position or one they plan to seek. The shadow focuses on management styles and interaction with employees and/or customers.
- **Final Project:** Each ELP participant submits a final individual project which summarizes the participant's experiences over the year. The final project includes lessons-learned, journal reflections, notes from the group discussions, details of the job shadow experience, and how the ELP participant plans to apply the newly learned skills back on the job. A copy is also sent to the ELP Coordinator after the end of the Capstone.

## Methodology

The researcher used a survey consisting of 11 quantitative and qualitative questions sent to a population of 58 DAU ELP graduates. In order to make comparisons between different views, most demographics were pre-loaded to lessen the burden for respondents to answer several upfront demographics. Figure 2 depicts the survey which leveraged a matrix style format and cell groupings to shorten the appearance of the instrument to minimize survey length.



**Figure 2. ELP Questionnaire**

The survey questions were designed to measure the perceived effectiveness of 14 ELP activities and how frequently the ELP graduates were using their newly found skills. As a past graduate of the ELP program, the researcher included anecdotal observations relative to the 14 activities to underscore a greater (or lesser) value of each. Because the need for a staff leadership program was initially tied to climate survey results, the survey instrument also included three DAU climate survey questions for comparison to benchmarked data.

The results were collected in a survey tool and exported to Excel, as seen in Figure 3. The researcher used custom visual basic formulas to build summary arrays to display the results by respondent groupings. Below is an image of the “one world” summary sheet. The details will be explained in Findings—the next section.







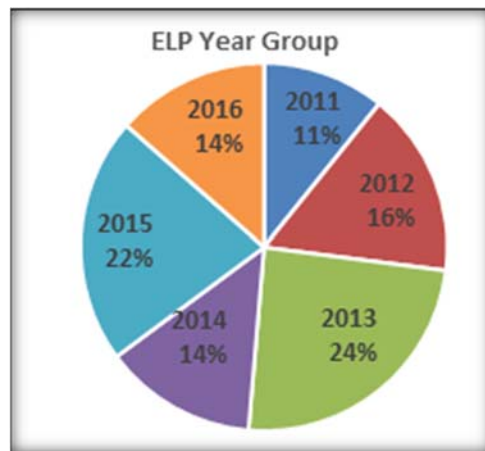
**Figure 3. Summary Spreadsheet**

**Findings**

The findings indicated a positive learning experience overall from the ELP. Respondents were constructive and suggested changes that the DAU should consider to improve the effectiveness of the activities that would lead to more favorable learning outcomes. Despite the fact that the ELP graduates' responses were similar to related questions in the climate survey, the ELP qualitative feedback indicated that the DAU should expand leadership opportunities for emerging leaders. The ELP graduates felt they needed to apply their newly found leadership skills more frequently and needed more opportunities.

**Demographics**

The participants from the DAU's ELP were well represented in the research study. The total response rate was 64%. Figure 4 displays each ELP year group and their representative percent of the total responses. With the exception of the initial ELP pilot, class size each year has ranged from nine to 13 students.

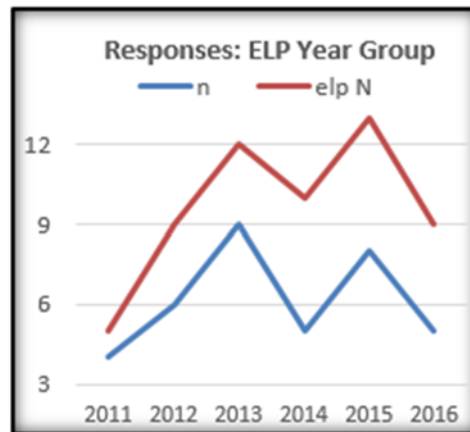


**Figure 4. Contribution by ELP Year Group**

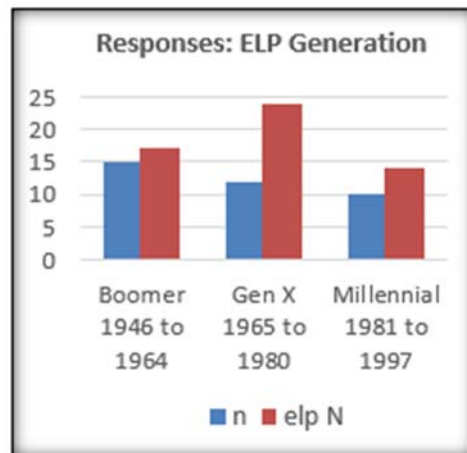
Figure 5 shows how the two groups varied when comparing the respondents (n) to the total number invited (N) by year group, the gap (non-responders). Response rates also varied by generation:

- Boomers: 88%
- Gen-X: 50%
- Millennials: 71%

As Figure 6 shows, the Gen-X group was the largest non-responding group in this assessment. The lower response rate among Gen-X could be explained Gen-X's mistrust of technology (Erickson, 2008).



**Figure 5. ELP Year Group Response Gap**



**Figure 6. Responses by ELP Generation**

For the purpose of this research, respondents were categorized as Line Staff (admin, training techs, and specialists), Mid-Level Staff (lead specialists, management analysts, and management program analysts), or Senior Staff (designated deputy personnel or senior supervisors). DAU staff who responded to the questionnaire came from diverse educational backgrounds. Almost a third held a master's degree, and almost half held a bachelor's degree. The remaining respondents either obtained a two-year degree or are actively seeking college credit. Additional stratification of the ELP responses will be conducted in

supplementary research analysis to determine if there is any significant modulation within the ranking of the ELP activities among any particular respondent group.

### **Assessing the 14 ELP Activities**

Fourteen diverse learning activities were assessed using a top box three (TB3) methodology (i.e., totaling the responses of 5, 6, and 7 on a Likert Like scale from 1–7 and then dividing by the total respondents). Figure 7 displays the learning effectiveness of each activity (a larger view is shown in Figure 1). The effectiveness of each activity could also be influenced by their frequency of use (e.g., daily, weekly, monthly, etc.). The scatterplot shows the respondents’ aggregated average of the ELP attributes they rated for both effectiveness and frequency.



**Figure 7. ELP Activities Rated**

Combining both components could suggest a tight coupling (or not) between the two. For example, any particular activity with a high frequency and high effectiveness might start to wane (or not) if exercised less frequently. The researcher decided for the purpose of this study to keep “effectiveness” as the more influential attribute. Follow-on research could validate any changes in effectiveness for those components used more (or less) frequently over time.

### **Representative Comments**

The following quotes are representative of the respondents’ qualitative comments among the 14 ELP activities. They are listed in order of the TB 3 rating for effectiveness. Specifically, ELP graduates were asked, “What will you do differently now?”

#### **Team Activity (TB: 92%) “I will ...**

*... dive into projects that affect DAU as a whole.”*

*... plan my own goals and keep others accountable to the project goals.”*

*... stay connected with my ELP project team as a professional network.”*

*... work better with teams to get full participation whether I’m a lead or a team member.”*

**Author’s Note:** We learn from others and learn by doing ... finding ongoing team opportunities can pay huge dividends.



**Discussion Groups (TB: 90%) “I will ...**

*... participate more and share my ideas even when they are different.”*

*... provide candid feedback to other members.”*

*... get to know my counterparts from across the university.”*

*... appreciate the power of collaboration and ‘bring it’ when it applies.”*

**Author’s Note:** Collaboration is important for innovation and creative tension ... both of which can strengthen relationships and achieve more synergism.

**360 (TB: 88%) “I will ...**

*... work on continuous improvement and be more self aware in areas where I need to improve.”*

*... improve on my effectiveness with communication skills and delegate.”*

*... engage and work on perceptions on how I am seen by my leadership.”*

*... continue to reflect—the 360 assessment was a profound learning moment about myself as a leader.”*

**Author’s Note:** Assessing blind spots requires the perspective of others ... but working past them is up to us and requires an honest commitment.

**MBTI (TB: 85%) “I will ...**

*... make more effective interactions with differing and similar personality types.”*

*... consider adjustments needed with other personality types on how they work and interpret information.”*

*... continue to apply MBTI and learn to better support my self-leadership.”*

*... be more aware of other co-workers preferences so as to reduce conflict and increase group cohesion.”*

**Author’s Note:** Armed with more knowledge about ourselves helps us break through our own mental models ... we can learn even more by recognizing our filters.

**Final Project (TB: 85%) “I will ...**

*... continue to reflect and look back at projects.”*

*... remember this—it was rewarding to see it come together as value added.”*

*... look for IPT participation opportunities ... good vibes on my presentation.”*

*... do this again ... enjoyed the process of pulling together a final project.”*

**Author’s Note:** The experience of working a project can test our mental muscle ... participating in “special projects” can also further strengthen learning.

**SDI (TB: 83%) “I will ...**

*... adjust my behavior and approach to conflict situations to be more effective.”*



*... strategically approach conflict with leaders armed with knowledge of how my SDI compares to my leadership.”*

*... be more aware of my stress reactions and make an effort to better deal with daily work stressors ... especially when working on teams.”*

*... apply immediately! An informative tool and profound moment to learning about myself as a leader.”*

**Author’s Note:** Hesitation to engage could be the result of a blurred lens on “how to” approach or “how to engage.” ... The SDI offers insights to help clear the lens and better understand our proclivities.

**Mentor (TB: 82%) “I will ...**

*... continue weekly mentor vector checks ... I have too much to work on but perspective is invaluable ... learning to engage.”*

*... find time to take on this challenge.”*

*... reference back to my mentor when/if a situation warrants.”*

*... utilize several suggested methods and reflect back on my mentor’s insights.”*

**Author’s Note:** It can be difficult to find a mentor and difficult to find time for mentoring ... the right mentor–mentee chemistry is an ideal formulary.

**Shadow (TB: 80%) “I will ...**

*... request more stretch opportunities ... research and/or support deep dives.”*

*... ask for a specific project to lead now that I have had a shadow so I can exercise my new skills ... I can contribute and lead from below.”*

*... approach others with more confidence ... a transformational experience.”*

*... model my own approach from what I saw demonstrated ... so much learning in the shadow!”*

*... look for more shadow opportunities ... even if informal, this is an outstanding networking opportunity and learning opportunity.”*

*... emulate some traits I observed as well as avoid some.”*

**Author’s Note:** It’s important to professionally stretch and build self-confidence ... the trick is to monitor, fuse, translate, and eventually emulate from a master leader’s shadow.

**EQI (78%) “I will ...**

*... be more patient with others.”*

*... handle daily situations differently.”*

*... show more empathy ... a profound learning moment about myself as a leader.”*

*... treat all colleagues as humans, regardless of position or status.”*

**Author’s Note:** The first step is to understand yourself ... make yourself smarter... then set a personal goal and look for ways to be more effective.



### **Reading (65%) “I will ...**

*... work on developing an ongoing professional reading habit.”*

*... look for another good leadership book.”*

*... try to use and remember the skills I read ... great recommended reading!”*

*... read additional books to continue to learn new leadership approaches and techniques.”*

**Author’s Note:** Read more ... the key is to pick the right reading that has the best return. Leaders should be avid readers.

### **e-Learning (53%) “I will ...**

*... look for continued e-curriculum—it was free and it was helpful.”*

*... use the new skills to deal with others in the circumstances I read about.”*

*... do more e-learning beyond the ‘requirements’ to improve my self-knowledge and skill-knowledge.”*

*... keep soft skills on my reading list.”*

**Author’s Note:** E-learning can be convenient but isn’t always very “learning immersive” as live participation is. To make it more effective is all about the “approach” to learning.

### **IDP (53%) “I will ...**

*... better assist subordinates with setting up their IDPs now that I have done one.”*

*... continue IDP from a holistic perspective.”*

*... spend more time discussing options outside of DAU’s programs that supplement the ELP learning.”*

*... plan my opportunities—‘need’ vs. ‘want’ because I can’t do everything.”*

*... continue to plan as I take my development seriously, but in many ways I think we check the box on this.”*

**Author’s Note:** IDPs are very useful as long as they are realistic professional goals, thoughtful, and aligned with a strategic plan.

### **Journal (45%) “I will ...**

*... look for guidance on how to journal or what to record.”*

*... update my journal.”*

**Author’s Note:** Reflection through journaling is most effective when integrated with other learning activities.

### **Representative Comments in Review**

The ELP graduates’ “I will ...” statements reinforced how the ELP activities motivated them to apply what they learned. The comments also emphasized how this program can have a lasting impact. For example, most of the graduates spoke of seeking additional opportunities to participate in projects, IPTs, informal mentoring, and focus groups to practice and enhance their new skills. Recognizing the need to continuously learn new skills,



ELP graduates inferred the importance of keeping their learning apertures wide open for additional opportunities.

**Three Questions Asked to Target an Assessment of Impact**

We generally measure what matters, but how do we know if we got it right with the ELP? It could be a question of benchmarking against the DAU’s internal climate survey (collected on a Likert Like scale of 5). Figure 8 displays TB2 and BB2. Like TB3, TB2 totals the responses of 4 and 5 and then divides by the total respondents; likewise, BB2 totals the responses of 1 and 2 and then divides by the total respondents. Three DAU Climate Survey questions were considered in this research for measuring impact and how the ELP graduates responded post-graduation from the year-long program. ELP graduates offered candid comments—some very thought-provoking.



**Figure 8. DAU Climate Survey Questions**

**DAU Advancement Opportunities & ELP Optimism**

Bottom Box [red]: Opportunities for advancement are perceived dismal at best. The ELP, as the name suggests, should help develop leaders. But what does the ELP graduate emerge to? Respondents pointed out that advancement is limited for staff members. Because of the small departments organized around specific technical skills, they felt the opportunities for formal leadership positions appear to be rare. Initial discussions at the program outset also make it clear that there are few advancement opportunities at the DAU. A few respondents felt they were even encouraged to “move on” if they were seeking a leadership position—and they did. Over 10% of the graduates have left the DAU for advancement positions.

Top Box [green]: Who is this select group of ELP graduates who felt there are improvements in advancement opportunities when the facts do not necessarily support this ranking? Leadership and supervisory positions appear to be diminishing with recent efforts to “align leadership to at least ten per working group.” Some of the respondents said they are “waiting it out” or “hanging in there” for leaders to retire or “move on.” This group appears to be optimistic. They said “optimists get more done” and “attitude is everything,” inferring that it could change how others see them as well. This group also does not see a clear path for advancement (i.e., “it isn’t evident”) but they seem to learn the power of influence as a surrogate leadership strength. Several respondents noted an equally rewarding experience through a cross departmental and highly collaborative project where they felt they markedly influenced the outcome.

**Influencing Decisions at Work**

Bottom Box [red]: There were very few comments in this group due to the small response rate in the bottom box. After getting to know the other ELP participants, one respondent remarked that their influence largely depended on the daily duties of the staff member. Another said, “I’m just a worker bee ...” Perhaps seeing influence as an inherent

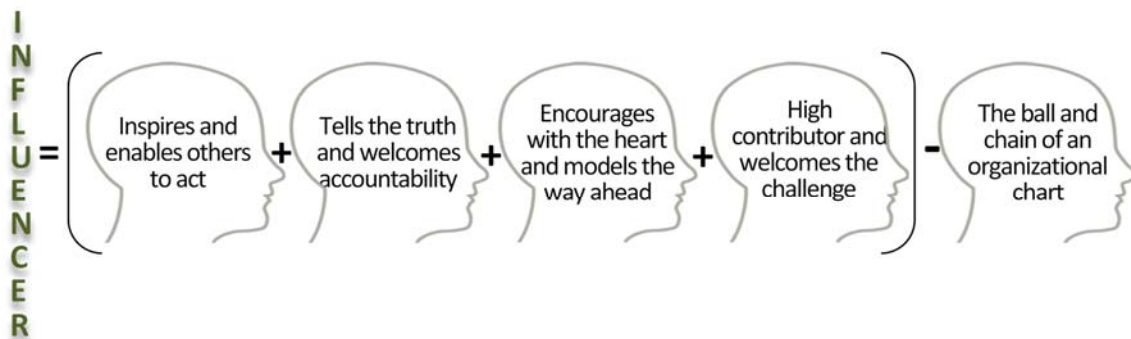


feature of a particular position is holding some ELP graduates back who could otherwise be influential. One ELP graduate expressed a certain disappointment and said “almost everyone here at ‘x’ has been through the program” and none were “selected” because they were potential leaders.

Top Box [green]: The ELP graduates scoring in the TB box appeared to be more “comfortable” with everything from communication to making decisions when empowered to do so. They noted their communication skills had improved and they even understood themselves better. It wasn’t that they were the “loudest” or even the “most critical,” but they had developed their “voice” along with an increased ability (and responsibility) to use it and do what was needed for the team or project to succeed. The ELP graduates also noted the usefulness of creative tension and taking risks to share perspectives when it can help the project. One respondent said “accept it—there is potential to lead from below.” Another respondent said “my boss has confidence in me to perform my duties above my duty description.” This group of ELP graduates saw leadership differently and felt “I could influence decisions about my work ... and now what I have learned is helping me to be a better asset to DAU.” In some cases, the ELP has provided the additional skills to act more assertively when they have an opinion they believe would make a difference.

***Impact ... Leadership ... Isn’t It All About Influence?***

ELP graduates said, “with the right skill and attitude, you can influence and win confidence to make an impact.” Research suggests that a Leader without Influence is not a very effective Leader. Others say, “An Influencer is a Leader. ... They challenge processes.” In that context, ELP graduates who learn to influence despite certain hurdles can lead up and across, and ultimately achieve some of the same outcomes as leading down. The depiction shown in Figure 9 was adapted from a leadership blog (Rockwell, 2015) and captures another interpretation of influence.



**Figure 9. An Interpretation of Influence**  
(Rockwell, 2015)

**Conclusion**

After conducting a retrospective review of the ELP from its graduates, the DAU is in a better position to make several adjustments to the program and keep it relevant, challenging, and a platform to further develop staff. The ELP components that the respondents found very useful don’t need much tweaking. The ones that showed less value, including course readings, IDP, Journal, and e-learning could all use a boost. Either selecting more useful reading, allocating more time for the readings, and/or using the





readings as a precursor for group discussions might ignite more interest and reinforce its value. Demonstrating a stronger connection between the IDP and ELP graduates' developmental guide path will help raise its importance. Maintaining a journal can be laborious and similar in context to maintaining a diary. Since it was the least effective ELP component, it might be better to withdraw it from the program in the context of other ELP demands. While e-learning is so pervasive these days, the learning drawback for ELPs could be affected by its asynchronous method of learning, that is, absent discussions among peers. Professional gains afforded by each of the ELP components varied, though appeared to have a closer grouping. Shadow assignments, self-assessments, and the soft skills all were rated as skillsets used more frequently, but what needs to happen to make all these more effective? Some of the respondents felt cohorts needed to continue after graduation to continue the focus on their development. TB3 81% of the ELP graduates felt the ELP prepared them for increased leadership responsibilities and that they had more useful tools to influence decisions. More importantly, they are ready to take a leap with the proviso that "Leaders make mistakes, too, but it's how they communicate and take accountability that makes them stronger leaders and real influencers." As one respondent so aptly said, if you aspire to be a "leader," take a hard look at how you "influence" and begin to develop those skills. As a fellow ELP graduate, I frequently practice how to influence my way ahead, and I also have a much deeper understanding of the powerful techniques at my disposal thanks to the ELP.

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