



STATE OF TENNESSEE  
**DEPARTMENT OF HUMAN RESOURCES**  
FIRST FLOOR, JAMES K. POLK BUILDING  
505 DEADERICK STREET  
NASHVILLE, TENNESSEE 37243-0635  
(615) 741-2958

**Bill Haslam**  
GOVERNOR

**Rebecca R. Hunter**  
COMMISSIONER

March 28, 2011

Ms. Nancy Vickers, National Program Administrator  
CSG Innovations Awards 2011  
The Council of State Governments  
2760 Research Park Drive, P. O. Box 11910  
Lexington, KY 40578-1910

Dear Ms. Vickers:

Attached is the State of Tennessee's nomination for CSG's 2011 Innovations Awards. We are proud to submit **LEAD Tennessee**, an impactful leadership development initiative that is already strengthening our state.

Strategic Learning Solutions (SLS), a division of the Department of Human Resources, requests the information provided in this application be treated as proprietary material. SLS is financially self-supporting, generating 100% of its revenue by delivering customized training products and services to customers internal and external to the state of Tennessee.

Feel free to contact me if additional information is needed.

Sincerely,

A handwritten signature in cursive script that reads "M. Mercedes Lytle".

M. Mercedes Lytle  
Assistant Commissioner

Attachment

## Council of State Governments

### 2011 Innovations Awards Application

1. **STATE:** Tennessee
2. **PROGRAM CATEGORY:** Workforce Development
3. **CONTACT PERSON:** Mercedes Lytle, Assistant Commissioner
4. **ADDRESS:** 1<sup>st</sup> Floor, James K. Polk Building  
505 Deaderick Street  
Nashville, TN 37243
5. **TELEPHONE NUMBER:** 615-741-5557
6. **FAX NUMBER:** 615-741-7880
7. **EMAIL ADDRESS:** [Mercedes.Lytle@tn.gov](mailto:Mercedes.Lytle@tn.gov)
8. **WEBSITE ADDRESS:** [www.tn.gov/dohr](http://www.tn.gov/dohr)
9. **Please provide a two-sentence description of the program.**

**LEAD Tennessee** is a state-wide, twelve-month development initiative for current and emerging leaders which includes six one-day summits of intense, high impact learning focused on twelve leadership core competencies. The goal of **LEAD Tennessee** is to increase the state's leadership bench strength by providing agencies with a continuous pipeline of motivated and prepared leaders that share a common language and mindset about effective leadership.

10. **How long has this program been operational (month and year)? Note: the program must be between 9 months and 5 years old on March 28, 2011 to be considered.**

Although plans and activities necessary for a successful launch began in mid-2009, **LEAD Tennessee** became fully operational in November 2009.

11. **Why was the program created? What problem[s] or issue[s] was it designed to address?**

Data collected by the Tennessee Department of Human Resources in 2009 showed that of the 44,995 people employed full-time by the state of Tennessee, over 6,500 were eligible to fully retire. The statistics further showed that 60% of the state's employees were 46+ years old; of that group 53% of them (14,403) were 55 years old and older. In the face of the potentially significant loss in leadership that could ensue in the wake of baby boomers' retirement from state employment, the Strategic Learning Solutions (SLS) Division of the Department of Human Resources made a business case for an initiative, **LEAD Tennessee**, to address the challenge.

12. **Describe the specific activities and operations of the program in chronological order.**

August 2009	<b>LEAD Tennessee</b> presentation to the Governor and executive staff followed by formal endorsement from the Governor of the statewide <b>LEAD Tennessee</b> initiative.
September 2009	Selection of and invitation to the appointing authorities to serve on the <b>LEAD Tennessee</b> Executive Leadership Council (ELC).

	Members of the Council serve as Summit Sponsors and provide guidance and support for the overall direction of <b>LEAD Tennessee</b> .
October 2009	<b>LEAD Tennessee</b> ELC meeting and policy support confirmation.
November 2009	<b>LEAD Tennessee</b> participant selection by agency appointing authorities. ELC member/Summit Sponsor briefing on orientation. <b>LEAD Tennessee</b> participant orientation to include introduction of the 360° philosophy, instructions for participating, the philosophy of leadership networking, and the importance of leadership journaling.
December 2010	Participants take the 360° Feedback Assessment customized around the twelve leadership core competencies of <b>LEAD Tennessee</b> ; nominate peers, supervisor, direct reports and other colleagues to serve as raters. All 360° Feedback Assessments are completed and individual feedback reports are generated and distributed to participants.
January 2010	Facilitate coaching labs for participants to include one on one coaching on the 360° feedback reports and creating twelve-month individual development plans based on the 360° feedback in the twelve core competencies.
February 2010	<b>LEAD Tennessee</b> ELC briefing and update meeting. Summit 1 – What’s in It for Me? <ul style="list-style-type: none"> <li>• Competency focus for the Summit: Self-Awareness <ul style="list-style-type: none"> <li>○ Experiential learning: Getting to the Real Deal of Leadership and exploring the essence of a leader’s core values</li> <li>○ Participants create a “Book of Self” using the learning theory of the three stages of self-awareness as noted in the study by McCauley, Drath, Patlus, O’Conner, Baker, with the Center for Creative Leadership.</li> </ul> </li> </ul>
April 2010	Summit 2 – For the Greater Good <ul style="list-style-type: none"> <li>• Competency focus for the Summit: Mission-Driven, Customer Focus and Accountability <ul style="list-style-type: none"> <li>○ Experiential learning: Participants use GPS devices to locate GeoCaches throughout the downtown area to locate team resources in response to the disaster simulation activity.</li> </ul> </li> </ul>
June 2010	Summit 3 – Getting to the Heart of the Matter <ul style="list-style-type: none"> <li>• Competency focus for the Summit: Decision-Making, Trust, Ethics and Effective Communication <ul style="list-style-type: none"> <li>○ Experiential learning: The resource by Dan Heath, <u>Made to Stick</u>, used as the core resource for learning; participants examine how to create messages with meaning and purpose.</li> <li>○ Participants are challenged to create a commercial for the State of Tennessee highlighting “ Why is Tennessee a Great Place to Work?”</li> <li>○ This learning activity used Flip cameras to record and edit the commercials for final viewing to an all executive panel at the conclusion of the Summit.</li> </ul> </li> </ul>
August 2010	Facilitate coaching labs for participants to include one on one coaching on the progress and milestone checks for the twelve-month individual development plan based on the intense, high impact study of the core competencies.

#### Summit 4 – Who is on Your Bus?

- Competency focus for the Summit: Performance Management and Empowerment
  - Experiential learning: Participants demonstrate skill transferability working through case studies and role plays.
  - The use of flip cameras provides participants the opportunity to receive real time peer feedback on the demonstration of the coaching skill.
  - Participants receive Coaching Cards as job aids for the workplace.

September 2010  
October 2010

**LEAD Tennessee** ELC briefing and update meeting

#### Summit 5 – Building Resilience

- Competency focus for the Summit: Change Management and Team-Building
  - Experiential learning: Global Tech Change Management Simulation (online avatar game, computers, monitors, and speakers).

November 2010

Participant Application/Registration begins for Alliance Two.

*This is the intersection point when the two Alliances overlap.*

**LEAD Tennessee** ELC briefing and update meeting.

**LEAD Tennessee** Alliance Two participant orientation to include introduction of the 360° philosophy, instructions for participating, the philosophy of leadership networking, and the importance of leadership journaling.

#### Summit 6 – Leadership: Seize the Moment

- The experiential learning centers on helping participants prepare for the next step in leadership after **LEAD Tennessee**. Based on the twelve-month curriculum, participants are encouraged to create a game plan they will incorporate upon return to the workplace using the knowledge, skills, and abilities they acquired through the initiative.
- Participants take the 360° Feedback Assessment customized around the twelve leadership core competencies of **LEAD Tennessee**; nominate peers, supervisor, direct reports and other colleagues to serve as raters.

December 2010

“LEAD On” Celebration; graduation ceremonies, recognition and awards.

All 360° Feedback Assessments are completed.

January 2011

Facilitate coaching labs for participants to include one on one coaching on the 360° feedback reports and creating twelve-month individual development plans based on the 360° feedback in the twelve core competencies.

February 2011

Individual 360° feedback reports are generated and distributed to participants.

#### Summit 1 – What’s in It for Me?

- Competency focus for the Summit: Self-Awareness and Accountability
  - Experiential learning: Getting to the Real Deal of Leadership and exploring the essence of a leader’s core values
  - Participants create a “Book of Self” using the learning theory of the three stages of self-awareness as noted in the study by

McCaughey, Drath, Patlus, O'Conner, Baker, with the Center for Creative Leadership.

- Participants establish accountability partners for the experience.

Summit Format:

- 7:30 Continental Breakfast/Networking
- 8:00 large group; opening remarks by Executive Sponsor, Topic speaker
- A.M. Competency Workshops/groups of 26
- Lunch with "Opportunity with a Master"
- Afternoon Opening remarks by Executive Sponsor
- P.M. Competency Workshops/groups of 26
- Large group debrief and dialogue with Executive Sponsors
- Integration Strategy with Coach: Learn, **Apply, LEAD**
- 5:00 p.m. close

Summit format includes speakers on the core competencies and local, community, and state leaders who share their leadership story with participants during lunch.

### 13. Why is the program a new and creative approach or method?

**LEAD Tennessee** was uniquely designed and built for the state of Tennessee. Twelve core leadership competencies that were identified by state leaders, for state leaders, form the basis for a customized 360° pre- and post-assessment. As a result, participants have an objective indicator of growth during the program as well as identification of on-going development opportunities. The use of one-on-one coaching is another distinctive element of **LEAD Tennessee**. Coaches use the 360° information in one-on-one sessions throughout the program to assist participants in creating and implementing individual development plans.

Unique aspects of LEAD also include:

- combining current and emerging leaders;
- active involvement and support of the Governor's office;
- state-wide identification and focus on twelve leadership core competencies;
- relentless focus on the theme, *Learn, **Apply, LEAD***, to reinforce the expectation that participants will immediately utilize learning;
- opportunity to form a large cross-agency network;
- cutting-edge learning concepts and experiences; and
- opportunity to hear from and access outstanding state and community leaders.

It is the combination of these structural elements that makes LEAD a one-of-a-kind learning experience.

**14. What were the program’s start-up costs? (Provide details about specific purchases for this program, staffing needs and other financial expenditures, as well as existing materials, technology and staff already in place.)**

In lieu of start-up budget/costs, the Department of Human Resources decided to partner with state agencies to fund the initial years of **LEAD Tennessee** through its Strategic Learning Solutions (SLS) Division. Modest operational costs per participant per department (\$1,800 for 2010; \$2,400 for 2011 and 2012) were established for the first few years and supplemented by SLS. It is expected that **LEAD Tennessee** will be fully self-supporting in 2013.

In the area of personnel, existing staff (6 members) and two members of the department’s leadership team were critical to the high expectations and success of **LEAD Tennessee** in 2010. In addition, existing laptops and LCD projectors were utilized. As the summits progressed, additional equipment was purchased or rented to meet the needs of a specific day (e.g., GPSs; flip cameras; the renting of 25 wireless computers for use in a simulation). The purchased items are now available for use in subsequent years and are reflected in the expenses detailed in question 15.

**15. What are the program’s annual operational costs?**

<b>OPERATIONAL COSTS</b>	<b>2010</b>	<b>2011</b>
360° Assessment/Leadership Portrait Instrument	\$ 12,798	\$ 17,673
Catering	\$ 48,502	\$ 44,629
Coaches/facilitators	\$198,875	\$137,500
Participant, Executive Sponsor, and Speaker Gifts/Awards	\$ 17,531	\$ 12,772
Materials	\$ 10,163	\$ 3,195
Printing	\$ 9,372	\$ 9,371
Reading Material	\$ 14,080	\$ 14,080
Sound Equipment/Stage/Room Fees	\$ 7,138	\$ 13,387
Speakers	\$ 29,894	\$ 29,895
Van Rentals	\$ 720	\$ 720
<b>TOTAL</b>	<b>\$ 349,073</b>	<b>\$ 283,942</b>

Number of Participants	130	110
------------------------	-----	-----

**16. How is the program funded?**

Participating departments currently pay \$1,200 each fiscal year, for a total investment of \$2,400 per participant, over the twelve-month development period. The program crosses two fiscal years. DOHR’s SLS division provides the remaining financial support required for the initiative. In 2013 the per-participant cost will be increased to fully fund **LEAD Tennessee**.

**17. Did this program require the passage of legislation, executive order or regulations? If YES, please indicate the citation number.**

No new legislation, executive order or regulation was required.

**18. What equipment, technology and software are used to operate and administer this program?**

Laptops, LCD Projectors, video screens, sound system (speakers, microphones, sound board), Garmin ETREX GPS hand held devices and Flip video/cameras are the equipment used to operate and administer the **LEAD Tennessee** program. Technology and software used in conjunction with the equipment are computer simulation (SIMS) through Experience Point as well as internet, web based assessments, Windows media player, macro based Excel and PowerPoint.

**19. To the best of your knowledge, did this program originate in your state? If YES, please indicate the innovator's name, present address, telephone number and e-mail address.**

**LEAD Tennessee** originated in the state of Tennessee. It was designed and implemented by the Department of Human Resources, Strategic Learning Solutions Division.

The high-level concept and structure of **LEAD Tennessee** were the result of collaboration among two leaders within the SLS division and two executives in the Commissioner's office. Trish Pulley, Director, SLS, is one of the originators and the Program Director for **LEAD Tennessee**. Her contact information is:

Ms. Trish Pulley, Director  
Strategic Learning Solutions Division  
Department of Human Resources  
505 Deaderick St., 1<sup>st</sup> Floor  
James K. Polk Building  
Nashville, TN 37243  
615-741-4126 (T)  
[Trish.Pulley@tn.gov](mailto:Trish.Pulley@tn.gov)

**20. Are you aware of similar programs in other states? If YES, which ones and how does this program differ?**

While we know some other states include core competencies as an aspect of leadership development, we are not aware of any state which has a program as comprehensive as **LEAD Tennessee**, and with the type of unique distinguishing features that differentiate it from other leadership development initiatives. **LEAD Tennessee's** core leadership competencies form the basis for a customized 360° pre- and post-assessment, individual development plans, and one-on-one coaching.

The actual **LEAD Tennessee** learning experiences employ cutting-edge techniques to aid the delivery and impact of important concepts. To date, participants have used GPS devices to find geocaches during a mission-driven simulation; interacted with avatars while realizing the importance of flexibility during a change management session; and, used flip cameras to create a marketing piece while developing skills in the communication competency. Training sessions are intense and highly focused on the competency being presented.

Finally, participants actually meet and interface with successful leaders during each **LEAD Tennessee** summit. During **LEAD Tennessee** Alliance One in 2010, participants received leadership tips from a broad array of leaders, including twelve appointing authorities and one former assistant to U. S. Attorney General Robert Kennedy. Each guest spoke to and shared how their success had been impacted by one of the competencies. Participants see the embodiment of the competency they are studying. These elements and others make **LEAD Tennessee** unique and impactful.

**21. Has the program been fully implemented? If NO, what actions remain to be taken?**

Yes, **LEAD Tennessee** has been fully implemented.

**22. Briefly evaluate (pro and con) the program's effectiveness in addressing the defined problem[s] or issue[s]. Provide tangible examples.**

Since **LEAD Tennessee's** inception, we have received anecdotal information from participants and their managers about positive experiences resulting from immediate use of learning, as well as increased productivity and promotions. That information provides evidence of **LEAD Tennessee's** effectiveness. In addition, participants each received their 360° post-assessment which summarized their progress and opportunities for continued development. In the near future SLS will provide an opportunity for participants and graduates to share their experiences and successes on an internal site.

From a quantitative perspective, by the end of the year **LEAD Tennessee** will have up to 240 leaders across the state prepared for additional responsibilities.

**LEAD Tennessee** today is hosted in Nashville. Since it is a state-wide initiative, there is the reality that full participation may be limited for potential participants who live in east or west Tennessee.

**23. How has the program grown and/or changed since its inception?**

During **LEAD Tennessee** Alliance One (2010, the initial year), participants and coaches expressed a desire and need for additional coaching time. As a result, an additional coaching lab was provided.

In terms of workforce development, the leadership pipeline created by **LEAD Tennessee** will grow in one year from 130 leaders to 240 leaders who can contribute to a workplace that is cross functional and evolving. By focusing on development in the state's twelve core competencies and by using a shared, inter-agency language of leadership, **LEAD Tennessee** produces employees who are prime candidates for promotions across the state. For these reasons, **LEAD Tennessee** is the most significant solution to public sector succession planning in Tennessee.

**24. What limitations or obstacles might other states expect to encounter if they attempt to adopt this program?**

In order for other states to adopt this program, it is important that top leadership value the development of people as a core priority of the executive agenda. All data and benchmarking research indicates that investing in employees through training and development pays off for the overall organizational performance. Those states seeking to adopt an initiative such as **LEAD Tennessee**

should ensure top leaders not only support the effort but also endorse the need and significance of the development.

Today, effective leadership is central to organizational success, and more importance is placed on leadership development than ever before. Furthermore, best practice organizations recognize leadership as a key component of jobs at all levels and are committed to creating leaders throughout their organizations. When state government is faced with reducing staff and doing more with less, leadership development has to remain a top priority, and executives model leadership development by developing employees throughout their agencies.

The **LEAD Tennessee** model is built around the premise that emerging leaders and current leaders can learn and create solutions that cross agency lines and emphasize resource sharing. It would be imperative for states attempting to adopt the **LEAD Tennessee** model to have a shared mindset in this fundamental approach to creating leadership bench strength. States wanting to be leading-edge must have executive leaders who recognize the value of learning and development. During times of a lean workforce, leadership development should be placed at the top of the priority list. Once this is established, it is important to create a collaborative table where leadership competencies are identified, defined, and presented as the necessary qualities of successful leaders within state government.