

WORKBOOK

SES Resume-Based Hiring



PARTNERSHIP FOR PUBLIC SERVICE

OVERVIEW | RESUME-BASED HIRING GUIDE

This guide to resume-based Senior Executive Service (SES) hiring is intended to help Executive Resources (ER) and hiring officials better understand the benefits of resume-based hiring and how to implement it effectively. The following pages contain suggestions and best practices with ready-to-use tools and templates. The workbook serves as a guide. Your agency may have additional steps or processes that are required. Agencies should feel free to adapt the steps to fit additional requirements imposed by the Executive Resources Board (ERB), agency leadership or agency policies.

After evaluating multiple agencies' experiences, the Partnership believes that resume-based hiring offers an effective method for filling SES vacancies with top-notch talent.

ABOUT THE GUIDE

The guide is divided into four sections, each devoted to a major phase of the process. Because each phase builds upon the preceding one, it is important to spend time implementing each phase well. The four sections are:

Start-up and Preparation: Planning for the entire process happens in this phase, including collaborating with hiring officials to determine key competencies for each Executive Core Qualifications (ECQs), assessment processes, talent sources and more.

Recruitment: With recruitment planning completed, this section is devoted to executing the plan.

Enhanced Assessment: This section is critical, focusing on effectively and efficiently assessing minimum qualifications, facilitating an effective structured interview panel and collaborating with the Executive Resources Board to ensure the best candidates are identified.

Streamlined Qualifications Review Board (QRB): Getting through the QRB can be challenging. This section provides tips to navigate the process.

BENEFITS TO USING RESUME-BASED HIRING

Agencies using this approach for SES hiring report experiencing the following:

- Stronger applicant pools
- Improved collaboration between Executive Resources and hiring officials
- Effective and efficient assessment to identify the best candidate

SUGGESTIONS FOR USING THIS GUIDE

Agencies should consider the following in order to successfully implement resume-based hiring:

- Identify a senior champion to support and advocate for resume-based hiring.
- Begin early to build consensus and collaboration among executive resources and hiring officials.
- Be flexible but thorough in addressing each phase of the process before moving on to the next one.

WHY RESUME-BASED HIRING? | MESSAGE FOR HIRING MANAGERS

Getting the right leader into your organization requires that many moving parts work together seamlessly. Resume-based hiring offers a great alternative to the traditional hiring method and can benefit agencies seeking effective and efficient means to attract, identify and hire federal leaders. As the government considers changes to the SES to enhance leadership and effectiveness, using resume-based hiring can put your agency on the cutting edge. Agencies such as the departments of Veterans Affairs and Homeland Security have used resume-based hiring with great success. Remaining informed and knowledgeable about the practice is one more way you can drive organizational change and bring top federal leaders on board.

WHAT'S IN IT FOR ME?

- **Quicker Hiring:** Create efficiencies and reduce the time it takes to hire through planning and practice.
- **Greater Effectiveness:** Strengthen hiring efficacy by facilitating adoption of SES hiring reforms.
- **Stronger Talent Pools:** Attract top talent and diverse candidates with an applicant-friendly process.
- **Better Methods for Identifying the Best Leaders:** Develop a consistent framework for comparing candidates' qualifications and fitness for the job, using structured assessments.

WHAT WILL I NEED TO DO?

- **Think Strategically:** Know your organization's needs and job requirements and its desired impact.
- **Communicate and Collaborate:** Work as a part of a team to create a strategic road map with Executive Resources and assessment panels to hire the best candidate for the job.
- **Conduct Assessments:** Engage fully in the assessment process that identifies the strongest leaders.

WHAT'S NEXT?

- Familiarize yourself with the process outlined in this guide and discuss it with Executive Resources staff.
- Use the resume-based hiring process next time you need to fill an SES vacancy.
- Share your experience with other hiring managers to spur improvement across your agency.

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RESUME-BASED HIRING PROCESS

The resume-based hiring process can be divided into four distinct, but interconnected, phases. Each consecutive phase builds upon the work accomplished in those coming before it and therefore, requires that each be completed in its entirety. Note that the majority of the last three phases draw directly from work planned in the initial phase. Resume-based hiring is significantly better implemented if proper attention has been paid to planning during the start-up phase.

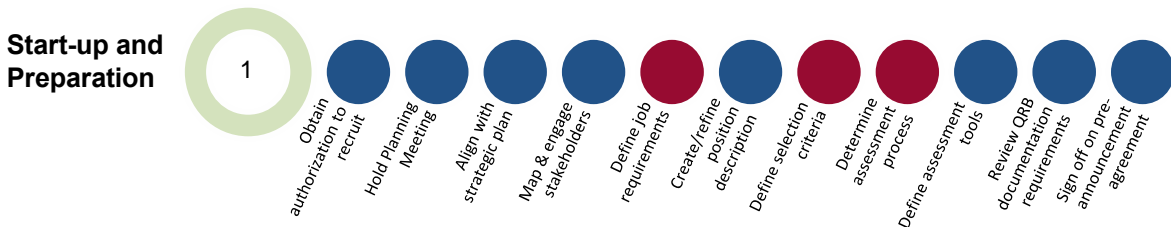
Consider using this process map as a checklist when implementing resume-based hiring.

Key

-  Major Process Phase
-  Executive Resources Deliverable
-  Requires Hiring Manager participation or approval
-  Executive Resource responsibility



PHASE ONE | START-UP AND PREPARATION



Finding and hiring top talent for an executive position can be a daunting task. By preparing in advance and engaging the appropriate stakeholders from the beginning, you'll be equipped for success. Each phase of the resume-based hiring process builds upon the one before it, so spending enough time planning during the start-up phase is crucial. Before the position is posted, review the position, the requirements and critical qualities candidates should have. With the resume-based hiring process, identifying quality candidates depends on having clear requirements for the position and effective assessments. Solid pre-planning and ongoing conversations between the hiring manager and the Executive Resources team are a must.

KEY TAKE-AWAYS /WHY IT'S IMPORTANT

- Create a partnership between the hiring manager and the Executive Resources team.
- Collaborate effectively with stakeholders from the beginning.
- Reconsider the previous position descriptions and clearly define job requirements.
- Use the start-up phase to lay out a smooth process to hire the right candidate for the job.

HOW TO DO IT

Hold an Initial Planning Meeting

The objective of the planning meeting is to identify key information for each of the four phases of the resume-based hiring process. Executive Resources acts as a strategic advisor to consult with and guide the hiring manager through each step. This is the time to discuss the following:

- Who are the stakeholders?
- What are the key competencies are for each Executive Core Qualification?
- What is the recruitment strategy?
- What is the assessment process?

Setting a clear vision for the process and desired outcomes will ensure that Executive Resources staff and the hiring manager are on the same page. The former knows the hiring process and the latter has the subject-matter expertise about the competencies, specific staffing needs and the kind of person who will be ideal for the job. Collaboration between the hiring manager and the Executive Resources team brings valuable information to the table.

Ideally, at the end of the meeting, both sides are clear on the requirements, the process, the tasks, the timeline and each group's roles and responsibilities. The adage, "plan the work, work the plan" applies to this initial step. By the end of this phase, you should have all the materials to create a well-crafted job opportunity announcement.

Align with Strategic Plan/Work Force Plan

The initial meeting is a good place to discuss how this position supports the agency's strategic, workforce and succession plans. Are there competency gaps the agency hopes to fill or considerations to improve diversity? Are the technical knowledge and skill requirements so critical that converting it to a Senior Level or Scientific/Technical (SL/ST) position should be considered? Has the agency mission grown or have new mission requirements changed workforce needs? Thinking more broadly about the higher level needs of the organization can be helpful in figuring out exactly who you're looking for, in addition to the job specific competencies and skills.

Map and Engage Stakeholders

The individual you hire will interact with many people in addition to the hiring manager. These people and organizations are the stakeholders in this process. A stakeholder could be political leadership; other federal agencies; state, local and tribal governments; interest groups; Congress and the White House; the Executive Resources Board (ERB); employees; or the public. Stakeholders can offer great insights. They can answer questions such as: What do you see as the most critical functions of this job? How would you describe the successful candidate? What resources have you used to find great candidates? What are some issues that your group is facing that this person would need to fix? What are the top competencies for the job? The analysis is best done by both the manager and the ER team, but the manager is critical to the process. The analysis does not have to take a lot of time or involve forms and reports. A few phone calls or a short meeting will get you the results you need.

Appendix 1A For a stakeholder mapping worksheet, see Appendix 1A

Define Job Requirements

A key outcome of the planning meeting is a set of well-defined job requirements. What skills, qualifications and competencies must candidates have to be successful in their roles? Don't worry if you don't have the answer. Use this preparation time to consult the stakeholders who do. This is the critical opportunity for hiring managers to describe the kinds of qualities they want in a candidate. The more you can understand a hiring manager's vision for a position the better you can share it with the public when recruiting.

Getting the job requirements correct will mean that all the other steps in the hiring process fall into place. The bottom line is that you want to know WHAT this executive will do and what is required to do it. The Executive Resources staff should provide the hiring manager with guidance to help determine appropriate SES functional criteria. According to OPM, a senior executive must:

- Direct the work of an organizational unit;
- Implement specific policies and programs successfully;
- Drive progress toward the strategic goals;
- Supervise and manage people; or
- Create and drive national policy.

When the job requirements are not clearly defined, competencies cannot be prioritized, resulting in confusion for the applicant and a hiring process that fails to yield desired results. A competency is a measurable pattern of knowledge, skills, abilities, behaviors and other characteristics that an individual needs in order to successfully perform occupational functions. Using the competencies as a starting point will result in a stronger job description and a clearer understanding for applicants of what the job entails.

Job opportunity announcements may include screening questions on technical qualifications that measure candidates' subject-matter expertise. This can be done by inserting language asking candidates to describe how they gained competencies related to essential job functions. By the time candidates are interviewed, their technical qualifications should already be validated so that panel members can focus on determining their leadership competencies. Asking follow-up questions during structured interviews allows assessors to better gauge candidates' ECQ competencies as related to their technical qualifications.

Appendix 1B For the strategy and planning conversation guide, see Appendix 1B

Create and Refine Position Description

All the planning you've undertaken in this first phase will help shape the look and feel of the position description (PD). Too often the PD and job opportunity announcement are out of date, which means they won't effectively attract the right kind of talent or help you find the best candidate. When planning with the hiring manager and stakeholders, be sure to reflect on what you've learned about the organization's strategic and workforce plan, the job requirements and the position's relationship with internal and external stakeholders. These criteria form the basis of a good PD that will contribute to an effective job opportunity announcement. The Executive Resources staff should take the lead in working with the hiring manager to update the existing PD or establish a new one.

Appendix 1C For an easy reference checklist tool for building a good position description, see Appendix 1C

Define Selection Criteria

Although the job isn't ready to be announced until the position description is finalized and the job opportunity announcement is created, begin discussing with the hiring manager the selection criteria for reviewing resumes. Again, this should be a collaborative effort, with Executive Resources guiding the conversation but relying on the hiring manager's familiarity with the position and expertise. Consider the most important competencies of the five Executive Core Qualifications (ECQs) since it is unrealistic to expect a candidate to excel at all 22 competencies

To define the selection criteria, choose the top two competencies from each ECQ suitable for screening resumes. The job requirements and selection criteria must be clearly written (plain English, spelled out acronyms), realistic and easy to find in the job opportunity announcement. Keep in mind that the applicant is submitting only a resume.

Appendix 1D To determine selection factors, use the ECQ Competencies and Descriptions worksheet

Determine Assessment Process

A strong assessment process is one of the most critical phases of the resume-based hiring model and helps ensure that only the best and brightest advance. During this phase of the planning meeting, hiring managers and the Executive Resources team should talk over their roles and responsibilities in the assessment process. Discussions should include information on carrying out the initial screening, selecting and training the panels, choosing key competencies and benchmarks

for the structured interviews, the Executive Resources Board's role and any interview requirements the selecting official may request.

Consider all the necessary steps for planning a successful assessment process. Who will comprise the screening and interview panels? Do they need to be trained or prepared? Use this time to discuss issues such as how to identify effective benchmarks and considerations for building both screening and structured interview panels with the hiring manager.

Appendix 1E For a more thorough explanation of planning for the assessment process, see Appendix 1E

Define Assessment Tools

There are many ways to conduct assessments. Identifying the most effective method to identify top candidates is crucial. Screening panels and structured interviews are part of the resume-based hiring model. Other tools, however, such as technical qualification pre-assessment questionnaires included in the job opportunity announcement, help screen out the least qualified applicants*. During the start-up meeting, review ECQ competency questions and benchmarks designed by OPM and other agencies for a structured interview. Be sure to discuss effective assessment tools. Outlining the general assessment process and identifying key tools to use will contribute to successful implementation.

*Once tools have been selected or developed, the hiring manager should review them with the Executive Resources staff to ensure they are specific for the job. This step should take place while the job is being advertised so that the screening and interview teams are ready to go when the vacancy closes.

Appendix 1F For assessment tool considerations and tips, see Appendix 1F

Review QRB Documentation Requirements

Executive Resources staff should share OPM's QRB Documentation Requirements with the hiring team during the start-up phase. Assessors and panel members aware of the QRB requirements can ensure their notes and assessments are thorough and easily integrated into the QRB package sent to OPM.

Sign-off on Pre-Announcement Agreement

Congratulations! In the span of a couple of hours you (the hiring manager and Executive Resources team) have laid the groundwork for recruiting and hiring the best candidate for your agency. At the end of this section you should have:

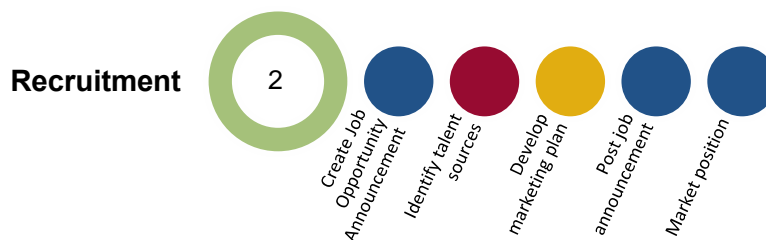
- Identified stakeholders and modified job requirements to fit new/emerging needs
- Identified qualities this position needs to support the agency's strategic and workforce plans
- Identified key competencies for each ECQ
- Identified and selected the best process, assessment tools, and required next steps
- Created a timeline and clearly understand respective roles and responsibilities
- Identified respective roles in the logistics of organizing the interviews and follow-up notes.

- Created or updated the PD to reflect the current environment
- Have all the information to write the job opportunity announcement.

Appendix 1G

For a sample pre-announcement agreement to be signed by the hiring manager and Executive Resources, see Appendix 1G.

PHASE TWO | RECRUITMENT



The goal is to attract and hire the best possible candidates to strengthen the SES, and there is no secret formula to finding them: Good recruiting is good recruiting. Your agency must be smart in its outreach and recruitment to be effective. Having planned in advance with hiring officials and subject-matter experts, the recruitment phase is dedicated to developing and executing a marketing plan.

KEY TAKE-AWAYS

- Use clear language that accurately conveys the type of person and experience desired.
- Consider all viable talent sources, including internally, based on hiring officials' input.
- Develop a robust marketing plan that can be vetted with leaders and stakeholders.
- Explore multiple sources for finding talent, examining the many possible low-cost or no-cost options.
- Recruiting effectively requires more than posting a position on USAJOBS

HOW TO DO IT

Create Job Opportunity Announcement

All the hard work that occurred in Phase I start-up and preparation paved the way for a clearly written and easy-to-follow job opportunity announcement. The job opportunity announcement helps market the job and the agency to potential candidates. It should clearly define the job, the key requirements, the qualifications, the application process and the “must haves” in order to be considered. Any pre-screening questions developed in Phase I should be part of the announcement. The Executive Resources staff will draft the job opportunity announcement, but the hiring official should review it to ensure it reflects the key duties, responsibilities and qualifications. It is critical that the ECQ competencies required for the job are clearly defined since the applicant will be submitting only a resume.

Appendix 2A, 2B For tips and a checklist to help you draft a job opportunity announcement, see Appendices 2A and 2B

Identify Talent Sources

Where do you go to find the talent needed for the position? You may not know exactly where to find the best person with the appropriate background, but it is critical that you don't rely solely on posting the announcement. Ask people who do know – the stakeholders you mapped out during the planning phase. Where have successful candidates in similar positions come from? Your agency may have candidate development programs generating great talent.

Appendix 2C To help identify the right places to look for the best talent, use the worksheet in Appendix 2C

Market the Position

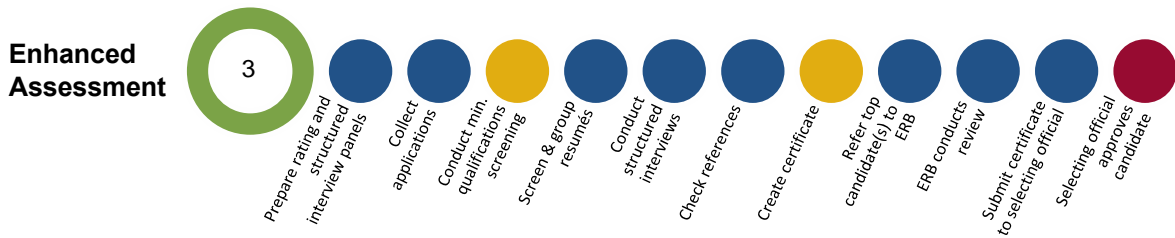
Posting on USAJOBS.gov is not effective marketing. Depending on which talent sources you decide to pursue, you will want to select the best means of advertising the position. Consider which media will generate the most interest from people in your target group: traditional print ads, agency web homepage, social media (LinkedIn, Facebook, Twitter) and professional association publications. Put yourself in the shoes of prospective applicants. What do they read? Where do they go? If you don't know, ask other stakeholders how they have successfully marketed similar positions.

The components of a good marketing strategy will incorporate the following:

- **Audience:** Who are you trying to attract? Are you looking for candidates who will bring diversity to the current SES Corps (gender, ethnicity, veterans, and people with disabilities)?
- **Volume:** How many people will see and respond to your marketing?
- **Message:** Are the benefits of the job (mission focus, leadership opportunities, financial incentives) clearly stated and easy to find?
- **Cost:** Are there less expensive ways to reach the same audience?

Appendix 2C For a talent sourcing worksheet and template, see Appendix 2C

PHASE THREE | ENHANCED ASSESSMENT



All the planning during the start-up phase and strategic recruiting is about to pay off. You have defined the job requirements and key competencies, posted a solid job announcement, developed a strategic marketing plan and targeted recruitment. Now, a robust method of assessment will help identify the right candidate. You've already defined the selection criteria, determined roles and responsibilities for the assessment process and defined the assessment tools. All that's left is to put that hard work and planning into action to ensure that your agency is hiring the best possible candidate for the position.

KEY TAKE-AWAYS

- Refer to the start-up phase assessment planning to keep everyone on the same page.
- Prepare screening and structured interview panels to capture candidates' qualifications.
- Train panel members early in the process so they know how to conduct assessments.
- Explore assessment flexibilities in addition to requisite structured interviews.
- Use sound assessment principles. Compare applicants to benchmarks, not to each other.

HOW TO DO IT

Prepare Rating and Structured Interview Panels

In the start-up phase, you already determined who should serve on the rating and structured interview panels. If last-minute changes must be made to the panel, be sure to remember these important factors when determining its make-up: diversity, skill set (may include individuals from other offices and backgrounds), availability and number of panelists.

Engage with panel members as early in the process as possible, providing them with important position information, such as job requirements, ECQs, competencies and benchmarks. Ensure that they have a clear understanding of panelists' roles and responsibilities, including regulations, procedures, time commitments and logistics. Determine what information to convey to panel members before they screen resumes and conduct structured interviews. What background information would put them in the best position to effectively screen and interview candidates?

Hiring managers should review interview questions and ECQ benchmarks provided by Executive Resources, editing as necessary before returning final versions. Agencies may decide to train interview panels while the job opportunity announcement is open or conduct just-in-time training before the screening and structured interview panels meet. Ensuring panel members understand the competencies and benchmarks smoothens the assessment process.

Appendix 3A For an example of a Screening and Structure interview training guide for panelists, see Appendix 3A

Conduct Minimum Qualifications Screening

Using resumes in lieu of ECQ narratives encourages good applicants to apply and, hopefully, allows your agency to attract a more robust talent pool. Your team must be able to put in a little extra work to experience big payoffs in the end. Many agencies are concerned about being inundated with applications, but there are steps that your agency can take to alleviate the burden of screening and grouping a large set of applicants.

To help Executive Resources more easily screen applications for minimum qualifications, a technical qualifications questionnaire, crafted with the help of the hiring manager, may be included in the job opportunity announcement. Screening for minimum qualifications easily removes from the pool those candidates who are unable to get approved by the screening panel.

Screen and Group Resumes

The screening panel is convened by the hiring manager and Executive Resources after the announcement has closed and the minimum qualifications screening is complete. The panel must categorize applications into three tiers or buckets: highly qualified, qualified and least qualified. Screening panels should consist of at least three assessors but may have more. The process will go more quickly and efficiently if the screening panel receives training from Executive Resources ahead of time.

Examine the benchmarks established in the start-up phase. Panelists should use them as criteria for grouping candidates into the three buckets of the Resume Rating Scale, which is highlighted in Appendix 3B. Only candidates in the top group go on to a structured interview.

The screening and grouping of resumes occurs in two phases. First, each panel member screens candidates *individually*, assigning them to the appropriate group according to the Resume Rating Scale. Panelists can use Appendix 3B to track their grouping of candidates. During the second phase panel members reach consensus on candidates placed into the top group. It's most effective to hold in-person meetings to discuss candidates, but discussions can also be conducted on the phone or virtually if necessary.

Appendix 3B For the Resume Rating Scale and how to use it effectively, see Appendix 3B

Conduct Structured Interviews

The structured interview is not only a highly effective assessment tool; it is also a requirement of resume-based hiring. Most importantly, it provides a consistent, valid and fair basis for assessing candidates, while providing panelists meaningful opportunities to judge candidates. Each candidate must be asked the same predetermined questions during a one-hour interview. Although there's no limit to the number of questions allowed, five (one for each ECQ) seems to work well. Questions should have associated benchmarks, which should be identified during the start-up phase. They will determine how qualified the candidate is in each ECQ. Remember that a candidate's responses should be assessed in relation to the benchmark, not to other candidates' responses.

While interviewers must ask the same ECQ questions of each candidate, they have some degree of flexibility when addressing the uniqueness of individual candidates. If a candidate strays off topic while answering a question, interviewers can ask follow-up questions to refocus the candidate's response and, more importantly, get an appropriate answer.

Panelists may also ask supplemental questions following the five structured questions to clarify whether the candidate has the proper technical qualifications or to get more information on the

candidate's background and get a better feel about the fit between the candidate and the position. Use this opportunity to determine the candidate's qualifications as well as his or her fit with your agency's culture.

Appendix 3C Use this form for panel members to list supplemental questions and capture responses.

Panel members should take detailed notes during the interview and share their findings with the QRB via the package sent to OPM. The QRB may reject the candidate or their qualifications if the members don't receive detailed notes with all the important information. Include Executive Resources staff in interviews to foster collaboration between hiring officials and the hiring team and familiarize Executive Resources with candidates' responses. Their familiarity with candidates and their responses is especially helpful when compiling QRB packages. More informed Executive Resources staff can better meet agencies' future hiring needs.

Appendix 3D See an example of how to capture interview notes in a uniform manner with this template.

When panel members are knowledgeable and comfortable with conducting structured interviews, they will be effective at identifying the best candidate for the job. Spending time on the front end reduces potential confusion and work later in the process.

Appendix 1B See the Structured Interview Checklist for Assessors to prepare panel members.

After interviews, panel members should independently rate candidates' proficiency in each competency and then collectively discuss findings, adjusting ratings if needed to reach consensus on an average group rating.

Appendix 3F See a sample interview panel consensus form

Check References

The reference check is often a neglected assessment tool but it can determine a candidate's fit for the job. Uncovering information from a source familiar with the candidate can confirm the panel's assessment or raise questions about his or her ability to perform. You and your co-workers are going to have to work with this candidate, so take advantage of the opportunity to speak with someone who already has. If the hiring manager is conducting the reference check, it is advisable to coordinate with Human Resources to review what he or she can and cannot ask.

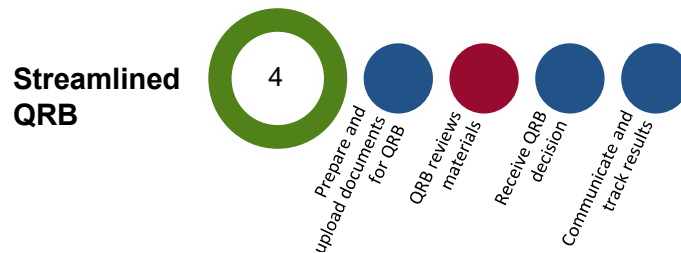
Appendix 3G Use Reference Checking Tips and Questions to conclude applicant assessments.

Create and Submit Selection Certificate to Selecting Official

Planning well, recruiting effectively and preparing good assessments should result in a great selection certificate. While agencies may perform this step differently, the most important consideration is that all relevant information is included for the ERB or selecting official. Refer to the plans you conceived during the start-up phase regarding the certificate submission process. Some agencies require ERB review and additional interviews. Others submit the top three candidates' applications to the hiring manager for additional interviews before the selecting official reviews the final candidate. Either way, you can avoid surprises by having Executive Resources and the hiring official collaborate on the package.

Congratulations! At this point you should have successfully identified the most qualified and suitable candidate to join the ranks of the Senior Executive Service.

PHASE FOUR | STREAMLINED QRB



You're so close! Extensive planning paid off and generated a robust applicant pool, while enhanced assessments helped identify qualified candidates. Only the Qualifications Review Board (QRB) is left to conquer. Adequate preparation ensures the QRB phase is uncomplicated and effortless. Successful QRB approval relies on providing thorough documentation and materials outlining candidates' executive qualifications, so take time to consider the following tips for ensuring approval:

KEY TAKE-AWAYS

- Ensure the QRB template clearly highlights demonstrated executive leadership.
- Have the candidate review his or her resume for accuracy and comprehensiveness (ECQs).
- Get panels, ERB and selecting official input on QRB template.

NEW STREAMLINED QRB

- Standing QRB members with three-month terms
- Members have executive and management experience
- Includes nine Executive Branch SES members
- Three members per QRB review meeting
- Advanced electronic document review before review meeting

HOW TO DO IT

Collect and Clarify Notes

Training the panel members who will do the structured interview to thoroughly capture candidates' responses ensures you can identify and present applicants' executive qualifications to the QRB. Sometimes, however, clarification is necessary. Reviewing notes with panelists helps the QRB to validate candidates' qualifications. Executive Resources staff should compile panelists' notes from candidate evaluation forms for each executive core qualification and plug them into the QRB template.

Appendix 4A Check out OPM's QRB package template and checklist

Rework Resume

Often, the selected candidate's resume lack the detail required for QRB submission. It may be time consuming for you to edit. Some agencies involve the selected candidate and the candidate reviews/edits the resume to reflect the experiences that track with the ECQs key competencies as

reflected in the structured interview. Note, this is not a rewrite nor can the selectee include information that wasn't covered during interviews. This is the final step in making sure the selectee concurs that the qualifying experiences are clearly and accurately represented as documented in the structured interview.

Get Panel Review and Input

After compiling comprehensive QRB information, including resumes and panelists' evaluations of the candidate's ECQs, share it with panel members and hiring officials. Subject-matter experts and hiring officials often catch omissions and weak points before the information is submitted to OPM and their review will enhance accuracy. Early reviews by hiring officials may expedite the process and extra sets of eyes are always helpful.

Send to QRB

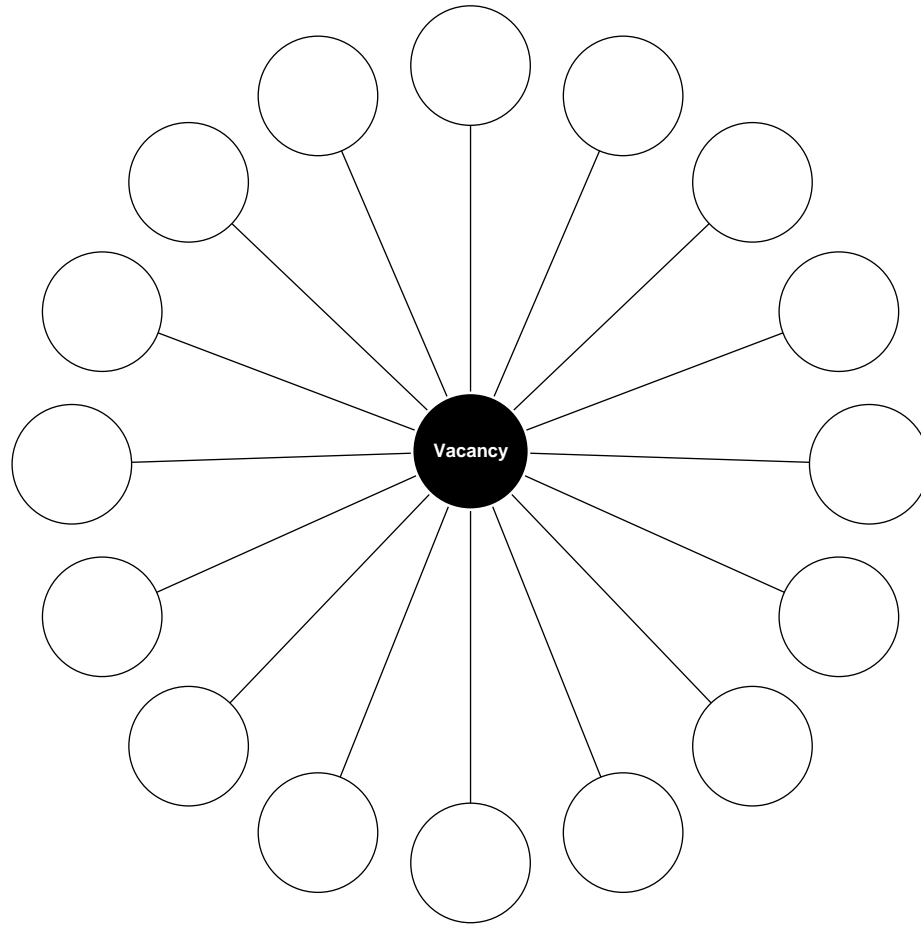
Double-check that all documents, signatures and forms are completed accurately.

Appendix 4B Check out the QRB final checklist

APPENDIX 1 | START-UP AND PREPARATION

- 1A **STAKEHOLDER MAPPING WORKSHEET**
- 1B **STRATEGY AND PLANNING CONVERSATION GUIDE**
- 1C **ELEMENTS OF A POSITION DESCRIPTION**
- 1D **EXECUTIVE CORE QUALIFICATIONS, COMPETENCIES AND DESCRIPTIONS**
- 1E **PRE-RECRUITMENT WORKSHEET**
- 1F **ASSESSMENT DESIGN CONSIDERATIONS**
- 1G **PRE-ASSESSMENT AGREEMENT**

APPENDIX 1A | STAKEHOLDER MAPPING WORKSHEET



Instructions: A stakeholder is any person, group or entity that can influence the success of, or is impacted by, the change effort. List all possible stakeholders on this page (e.g. names of key individuals, groups of employees, departments, units, customer groups, committees, government agencies).

Internal Stakeholders (Political leadership, other senior managers, unions, others)	External Stakeholders (Congressional offices, state and local government, contractors, associations and other professional groups)
Name and Position	Name and Position
1	9
2	10
3	11
4	12
5	13
6	14
7	15
8	16

Suggestions for mapping stakeholders

- Place the vacancy at the center of your picture.
- Map the following stakeholders:
 - Who does he/she work with regularly?
 - Who are he/she dependent on/who depends on him/her?
 - Will he/she have leadership team relationships?
 - What parts of the agency does he/she interact with?
 - Will he/she have important external relationships?
 - What relationships with other agencies and local/state governments will he/she have?
 - Will he/she interact with private sector partners?
- Outline the key requirements of the position using the conversation guide.
- Make sure you consider current and future needs.
- Review your position description. What should you include from the job analysis?

Notes

APPENDIX 1B | STRATEGY AND PLANNING CONVERSATION GUIDE

PURPOSE

This guide will help you gather the requirements of an SES role/vacancy through structured conversations with stakeholders. These conversations should be wide-ranging, but at minimum include the following:

STAKEHOLDER MAPPING

“Stakeholder analysis” refers to the process of identifying and analyzing the relationships between the person filling the position and the individuals who will interact with him or her. Performing the analysis once, or each time the vacancy occurs, allows Executive Resources to track changes in stakeholder needs over time, whether those stakeholders are people or organizations. Consider the following tips when mapping:

- **Design a chart or map of the stakeholders:** A sample is provided to help you map out the stakeholders and how they would impact or be impacted by the position. Be broad in your thinking: stakeholders can be other federal agencies, state and local governments, professional associations, Congress or consulting groups. Think about internal regional, support and other program offices.
- **Build a clear picture of who the new executive will be working with on a regular basis:** Who does he/she depend on to get the job done? Who depends on this person to get the job done? With whom does/should this person interact from other parts of the organization? What about external relationships? Also think about other agencies, local governments and partners. Review the questions in the job analysis section. Do the questions trigger other ideas?
- **Identify stakeholders to interview:** Gather different perspectives and opinions of the ideal characteristics and competencies required for the position. Where possible, interview the previous incumbent.
- **Communicate findings:** If stakeholders have opposing views you should raise them with leadership as it may indicate strategic disconnects.

ANALYZING THE JOB: SAMPLE QUESTIONS FOR STAKEHOLDERS

The Organization and Subdivision/Component

Identifying the best candidate requires understanding the nature of the job. Systematically examining the position helps identify the competencies necessary for success*. Well defined competencies, in turn, lead to valid and effective selection tools. The hiring manager and Executive Resources staff should develop a prioritized list of position tasks and duties, including their frequency. Use it to identify the appropriate competencies.

*Analyzing a job may not be necessary if the duties remain similar or an analysis was conducted recently.

Overview

- Which strategic priorities and goals need to be achieved in the short, medium and long term?

- What is the division's mission?
- What critical short- and long-term challenges face the organization?
- Are there intractable issues the organization has faced recently?

The Role

- Who will report to the executive and what support will they require?
- What are the highest priority responsibilities, duties and tasks?
- Have the duties changed since the last time this position was posted?
- What authorities does the role have?
- How does this position contribute to the success and mission of the organization?
- How large is the executive's group, both people and budget?
- To whom do they report?
- What will this person have accomplished in one year if successful?
-

Culture

- What is required to accomplish agency goals until the new hire begins?
- Which characteristics define organizational culture? (Risk-averse? Data driven?)
- What condition is the organization in? (Steady? Transformational? Recovering from shock?)

THE CORE COMPETENCIES, SKILLS AND KNOWLEDGE

For the SES, the Executive Core Qualifications (ECQs) define the competencies needed to build a federal corporate culture that strives for results, serves customers and builds successful teams and coalitions within and outside the organization. The following chart shows the SES Executive Core Qualifications and related competencies.

When selecting ECQs, first consider the balance of technical, management and/or leadership needs. Having a clear sense of the different responsibilities will influence the requirements. Hiring managers and Executive Resources staff must discuss technical qualifications while preparing for the start-up and planning phases. If technical skills and knowledge predominate the managerial and leadership skills, the position is likely better suited to Senior Level (SL) or Scientific or Professional (ST) level. Technical qualifications can be very restrictive and may limit competent candidates who have strong management or leadership backgrounds. The anecdotal measuring stick is that if a requirement can be learned in six months, it is not a technical qualification.

Use the following steps to determine necessary competencies, skills and knowledge:

Competencies

- Determine the specific duties of the job.
- Rank the Executive Core Qualifications and specific competencies required for the job.
- Determine which Professional Technical Qualifications are necessary but keep them to a minimum.
- Identify other critical skills and desirable traits.
- Review selected competencies to see if they favor specific individuals, especially current federal employees.

Knowledge

- Determine required experience and give specific examples (for example, led an multi-disciplined organization of 1,000 people vs. led a small unit of highly specialized technical staff.
- In what roles and at what levels do you expect candidates to have worked?
- Based on the duties, what are the minimum qualification requirements?

THE PERSONAL CHARACTERISTICS FOR SUCCESS**Leadership Style and Attitude**

- Which leadership characteristics contribute to the most effective leaders' success and are they necessary in a new hire?
- What kind of style and attitude do agency leaders expect in a leader for this position?

Management Style

- Do the team's history, current challenges and future needs require a specific management style?
- What personal traits will contribute to success within the team and the organization?

Communication Style

- What are the communication needs and ideal style for the role?

APPENDIX 1C | ELEMENTS OF A POSITION DESCRIPTION

INTRODUCTION

A position description (PD) states major duties and responsibilities of a position and who the new manager would supervise. In its simplest form, a PD indicates the work to be performed by the position. Describing major functions in great detail reveals competencies and skills necessary to successfully fill the position.

The hiring manager and Executive Resources staff should ensure the PD aligns with the organization's mission and job requirements by reviewing the agency's workforce and staffing plan, which should include its mission, goals and objectives. The Executive Resources staffs should consult hiring managers to determine an appropriate classification as SES, Senior Level (SL) or Scientific/Technical (ST) levels.

Positions requiring highly technical skills, such as scientific and professional positions, but do not meet the executive/managerial characteristics of the SES, should be classified at the SL/ST levels. For example, SL positions might include high-level special assistants, senior attorneys or policy advisors in highly-specialized fields with management or supervisory roles. ST positions require high-level research and development in the physical, biological, medical and engineering sciences or a closely-related field. Many renowned federal scientists and engineers fill ST positions. SL and ST positions may include supervisory and related managerial duties, but must occupy less than 25 percent of the employee's time.

SES classifications must meet SES functional criteria established by OPM and exceed the GS-15 grade level criteria based on the level of duties, responsibilities and qualifications of the position.

CHECKLIST

The Department of Agriculture (USDA) Office of Human Capital Management and Executive Resources Staff developed this checklist as a functional criteria guide to help determine if positions merit the SES level.

Functional Criteria Questions to Help Determine if Position is at the SES level

Does the position require engagement in any of the following activities?

- Directing the work of an organizational unit by:
 - Assessing policy, program and project feasibility
 - Determining program goals and developing implementation plans
 - Designing an organizational structure to promote accomplishments and set standards of effectiveness, efficiency, productivity and management/internal control

- Being held accountable for the success of one or more specific programs or projects by:
 - Obtaining the resources necessary to accomplish the program or project and assuming responsibility for their objective use

- Dealing with key officials from within and/or outside the agency to obtain support for the program or project
- Monitoring progress toward organizational goals and periodically evaluating and making appropriate adjustments to these goals by:
 - Monitoring work status through formal and informal evaluations to determine whether programs are meeting objectives
 - Assessing overall effectiveness, efficiency and productivity of the organization;
 - Identifying, diagnosing, and consulting on problem areas related to implementation and goal achievement and making decisions on alternative courses of action
- Supervising the work of employees (other than personal assistants) and meeting the minimum requirements for coverage under OPM's General Schedule Supervisory Guide. Supervisory and related managerial responsibilities require:
 - Overseeing technical and administrative work of others
 - Supervising others at least 25 percent of the time
 - Meeting at least the lowest level of Factor 3 in the General Grade Supervisory Guide, based on supervision of non-contractor personnel
- Exercising important policy-making and other executive functions by:
 - Reviewing staff recommendations on policies developed to effect the organization's mission
 - Considering political, social, economic, technical and administrative factors with potential impact on the recommended policies
 - Approving the policies or formally recommending action to the approving official

SAMPLE SES POSITION DESCRIPTION FORMAT

INTRODUCTION

The introduction should include a brief discussion on where the position is in the organization, the agency's mission and how the executive in the position help accomplish the mission.

MAJOR DUTIES AND RESPONSIBILITIES

Describe the major duties and responsibilities. Clearly state the diverse programs and functions involved.

PRESIDENTIAL MANAGEMENT AGENDA INITIATIVES

Identify Presidential Initiatives that are applicable to the incumbent's position.

KNOWLEDGE REQUIREMENTS

Describe the kinds of knowledge, skills and abilities that are required for acceptable performance. This should include managerial, as well as specialized or technical skills. Describe the depth, breadth and diversity of knowledge and skills required.

EXECUTIVE CORE QUALIFICATIONS (ECQS)

Describe the most critical of the Executive Core Qualifications for this position and the competencies most critical for each of the listed ECQs.

SCOPE AND EFFECT OF WORK

Describe the impact this position has on accomplishing the agency's mission, the significance of the executive's responsibilities and who or what is affected and the budget for which the executive is accountable, whether directly or indirectly. Identify who the person must work with to successfully perform duties.

RESPONSIBILITY FOR THE WORK OF OTHERS

Describe the staff (such as number of employees, grade levels, number of divisions/subordinate supervisors and diversity of jobs/functions) and the employee's supervisory duties and responsibilities. Include a statement that addresses the equal opportunity responsibilities in employment and program delivery.

SUPERVISION AND GUIDANCE RECEIVED

Describe the executive's degree of personal or procedural control and decision-making power. Indicate to whom the executive reports and the level of supervision/guidance he or she receives.

APPENDIX 1D | EXECUTIVE CORE QUALIFICATIONS, COMPETENCIES AND DESCRIPTIONS

The ECQs are designed to assess executive experience and potential - not technical expertise. They measure whether an individual has the broad executive skills needed to succeed in a variety of SES positions. Each of the five ECQ's has a set of related competencies; the personal and professional attributes critical for success. There are 22 specific competencies for the five ECQs.

ECQs	Competencies	Description
Leading Change	Creativity and Innovation	Develops new insights; 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; relates trends to organization and stakeholders; understands organization's impact on the external environment.
	Flexibility	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 and priorities and implements plans consistent with long-term 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	Conflict Management	Encourages creative tension and difference of opinions; anticipates and takes steps to prevent counter-productive confrontations; manages and resolves conflicts and disagreements in a constructive manner.
	Leveraging Diversity	Fosters 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 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.

ECQs	Competencies	Description
Results Driven	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/applies principles, procedures, requirements, regulations and policies regarding specialized expertise.
Business Acumen	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 analysis to set priorities.
	Human Capital Management	Builds and manages the 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 multi-sector 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	Partnering	Develops networks and builds alliances; collaborates across boundaries to build strategic relationships; and helps 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	Is good at persuasion; builds consensus through give and take; gains cooperation from others to obtain information and accomplish goals.

APPENDIX 1E | PRE-RECRUITMENT WORKSHEET

Hiring Manager

Executive Resources

Name: _____

Name: _____

Title/Organization/Phone: _____

Title/Phone: _____

Expedited Recruitment (check any that apply)

- Term Appointment
- Direct Hire
- Excepted Service
- Intergovernmental Personnel Act (IPA)
- None

Position Information for Executive Resources

Job Posting Number: _____

Anticipated number of vacancies to be filled: _____

Name of person to whom this position reports (if other than SO)

 New position

OR

 Established position: Vice _____

FLSA Code: _____

Note: Discuss FLSA responsibilities with supervisor Exempt Non-exempt

Job Detail

Job Title _____

Department _____

Agency _____

Salary Range _____

Open Period _____

Series and Grade _____

Position Information _____

Duty Locations _____

Who May Be Considered _____

Work Schedule _____

Type of Appointment

- Permanent
- Temporary NTE _____
- Term NTE _____ (justification for Term appointment attached)

Other Details

- Level of Security Clearance required prior to appointment?
- Will the incumbent be an [SF-278 filer](#)?

Position Description (PD):

- HR previously classified (no more than 5 years old)
- Proposed PD written by Selecting Official (SO)

Job Posting Description:

- HR previously prepared posting (no more than 3 years old)
- Proposed Job Posting Announcement written by Selecting Official

Job Analysis

- HM identified major job duties and % of time required to perform each duty
- HM identified priority ECQs, competencies and level of importance (1=low, 2=med, 3=high) for each
- HM identified supporting sub-competencies and level of importance (1=low, 2=med, 3=high) for each
- HM identified selective factors, if appropriate (justification for use of selective factor attached)
- HM identified technical qualifications

APPENDIX 1F | ASSESSMENT DESIGN CONSIDERATIONS

INTRODUCTION

Effective assessments incorporate the job requirements outlined in position descriptions and require thoughtful panel selection and preparation. For effective assessments, follow these recommendations:

SCREENING PANEL AND STRUCTURED INTERVIEW MEMBERS

Early in the process, Executive Resources staff and the hiring manager should collectively identify screening panel and structured interview members

Panels should include two or three interviewers to interpret and capture candidate responses. Multi-interviewer panels ensure diverse opinions while reducing rating biases. Panels reflect agencies' workforce demographics, demonstrating the organization's values of diversity and fair treatment.

Interviewers may conduct interviews together as a panel individually. The same interviewers should review *all* candidates to ensure rating consistency. Panel interviewers should individually record and evaluate candidates' responses. Following interviews, panel members should discuss and review the ratings given to each candidate. Panelists should reach consensus to determine candidates' final ratings and scores.

Designate one panel member as chairperson or coordinator responsible for administrative and logistical interview arrangements and for documenting the process. Good communication between Executive Resources and the hiring manager about handling the logistics paves the way for a smooth process. Some agencies turn the logistics over to Executive Resources. This should be discussed and decided at the startup meeting.

Screening and Structured Interview Panel Composition

Panel members are not all created equal. Consider the following questions when selecting them:

- Diversity: Is the panel diverse? (gender, disability, geography, intra-departmental, interagency)
- Skill set: Does the panel include technical and management/leadership experts?
- Time: Are the potential panelists available and committed to completing the process on time?
- Workload: Is it necessary to choose different members for screening and interviewing?
 - Will it give Executive Resources and the selecting official better decision-making data?
 - Will dividing the work allow more experienced team members to participate?
 - What do executive resources and hiring manager require to ensure a seamless process?

PANEL PREPARATION ROLES & RESPONSIBILITIES

Hiring Manager

- Convene the hiring team to assign responsibilities (preparing notes and scheduling interviews, for instance.)

- Discuss competencies and panel requirements with Executive Resources at the initial meeting.
- Draft the screening panel documents.
- Draft structured interview questions and finalize with Executive Resources.

Executive Resources

- Develop an SES member pool to serve on panels throughout the year.
- Establish principles and guidance regarding screening and evaluation, particularly if interviewers know or have worked with the candidate(s).
- Ensure performance plans include an interview rotation for each existing SES member.
- Assign QRB responsibilities to senior SES members, especially those who have achieved superior ratings or received bonuses or special achievement awards.
- Assign QRB mentoring or buddies between the senior and new SES members.
- Collaborate with other department and agency Executive Resources offices and develop an intergovernmental SES pool to serve on panels (those with similar or related work disciplines).
- Prepare structured interview training and interview questions for hiring managers.

APPENDIX 1G | PRE-ANNOUNCEMENT AGREEMENT

Executive Resources and the Hiring Manager teams have discussed and concurred on the following tasks and have agreed on their respective roles and timeline.

Action	Lead	
	HM	ER
Prepared Authorization to Hire and fill position at the SES level	HM	
Discussed position and how it supports strategic plan and mission requirements	HM	
Engaged in a substantive conversation planning out all steps of recruiting and hiring the best SES	HM	ER
Identified your stakeholders and modified your requirements to fit new/emerging needs	HM	
Understand how this position supports the agency's strategic and workforce plans	HM	
Identified key competencies for each ECQ	HM	ER
Created or updated the PD to reflect the current environment		ER
Discussed the job posting announcement, recruitment strategies and time lines; obtained all requirements for the job posting announcement.	HM	ER
Identified screening panels, structured interview panels and gained a working understanding of the Resume Based assessment process. Discussed panel training on the new assessment process.	HM	ER
Created a timeline and clearly understand respective roles and responsibilities	HM	ER
Identified respective roles in the logistics of organizing the interviews and follow-up notes		ER
Have all the information to write the job opportunity announcement		ER

Signed/Dated Executive Resources

Signed/Dated Hiring Manager

APPENDIX 2 | RECRUITMENT

- 2A JOB OPPORTUNITY ANNOUNCEMENT TIPS**
- 2B JOB OPPORTUNITY ANNOUNCEMENT GUIDE**
- 2C SOURCING QUESTIONS AND CHECKLIST**

APPENDIX 2A | JOB OPPORTUNITY ANNOUNCEMENT TIPS

The job posting should serve as a selection tool that attracts highly qualified candidates, while turning less qualified candidates away. When this part of the process works, staff members are able to focus their attention on strong candidates, as opposed to spending time screening candidates who are extremely under qualified. Quality job opportunity announcements ensure effective and efficient SES resume-based hiring. Below are tips for writing effective job postings.

CONTENT

Salary	<ul style="list-style-type: none"> List the three tiers of SES salaries showing the full range of salaries from minimum to maximum Put salary to the end of the vacancy announcement
Working Hours	<ul style="list-style-type: none"> List the number of work hours per week, on average, that the vacant position will require, convey explicitly to applicants the time commitment they should be willing to make to perform the job, before they apply
Experience	<ul style="list-style-type: none"> Include the number of years of experience desired/required for the position Put experience toward the beginning of the vacancy announcement
Focus only on the position in the job summary	<ul style="list-style-type: none"> Don't include the agency mission in the job summary Include only information about the position in the job summary, rather than information about the organization and its mission
Applicant Guidance	<ul style="list-style-type: none"> Provide audio/video vignettes on ECQ's and interviews with SES depicting the benefits of the position and being a senior executive Offer advice on how to shape a resume for ECQ's, clearly stating that there is a five-page limit Include the link to OPM's fact sheet on SES to inform outside candidates not familiar with the SES Link to "SES Positions Common Benefits" Resources link

STYLE

Essential pieces upfront	<ul style="list-style-type: none"> Place the essential pieces up front – job summary, requirements and duties – in a clear, concise manner
Bullet lists	<ul style="list-style-type: none"> List requirements and responsibilities of the position in bulleted format

OTHER

Workplace Benefits	<p>List workplace incentives outside of the standard pay, leave time and 401k. These might include:</p> <ul style="list-style-type: none"> Telework Gym subsidies On-site child care Other benefits that can give an applicant a sense of the culture
--------------------	---

APPENDIX 2B | JOB OPPORTUNITY ANNOUNCEMENT GUIDE

OVERVIEW

The purpose of a job posting is to market the job – and your agency – to potential candidates. You want to be able to attract the right candidates while allowing them to accurately assess their credentials. The posting should explain the application process and subsequent steps so the applicants are fully prepared for what to expect next. The questions below can help assess your job posting to be sure it is accessible to the applicant and designed to meet your needs.

KEY CHARACTERISTICS

	Yes	No
1. Does the posting convey the impact and excitement of your agency's mission?	<input type="checkbox"/>	<input type="checkbox"/>
2. Is the post written concisely and in a straightforward manner?	<input type="checkbox"/>	<input type="checkbox"/>
3. Does it avoid confusing government jargon?	<input type="checkbox"/>	<input type="checkbox"/>
4. How is the post formatted? Does it use bullets lists and short paragraphs or does it contain long, drawn out paragraphs?	<input type="checkbox"/>	<input type="checkbox"/>

JOB SUMMARY & DUTIES

	Yes	No
Job Summary		
1. Does your announcement have a sales pitch?	<input type="checkbox"/>	<input type="checkbox"/>
2. How does this job reflect the critical importance of the work and mission of your agency?		

3. Does the job summary give the applicant a realistic preview of the position? Think about the organization's environment and culture, the customers (internal and external) and other factors unique to your organization.		

Duties

4. Select the key responsibilities: Examine the Position Description, the job duties, the ECQs and competencies. Address the competency factors most important to the position, for example, adapts to new information. Which are the most critical/mandatory for this position? Which are desirable?

QUALIFICATIONS AND EVALUATIONS

Qualifications

- | | | Yes | No |
|----|--|--------------------------|--------------------------|
| 1. | Does the posting explain how to include ECQs in a resume to fully demonstrate qualifications? | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. | Does the posting explain the five-page limit on the resume, including cover letter and technical qualification statements? | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. | Are job requirements (such as citizenship, education, experience, skills) clearly stated? | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. | Does the posting distinguish between items that required versus desired? | <input type="checkbox"/> | <input type="checkbox"/> |
| 5. | Is the posting too exclusive or inclusive? | <input type="checkbox"/> | <input type="checkbox"/> |

Evaluation

6. Briefly explain the applicant evaluation process

- | | | | |
|----|--|--------------------------|--------------------------|
| 7. | Does this explanation help the applicant understand the next phases of evaluation? | <input type="checkbox"/> | <input type="checkbox"/> |
|----|--|--------------------------|--------------------------|

BENEFITS AND OTHER INFORMATION

Benefits

- | | | Yes | No |
|----|---|--------------------------|--------------------------|
| 1. | Does the posting contain a link to a benefits page from your website? | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. | Are important benefits listed in a way that they are selling points? | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. | Does the posting contain a brief description of the benefits? | <input type="checkbox"/> | <input type="checkbox"/> |

Other Information

1. Are special notes/legalities (such as relocation expenses, probationary period, security clearance, drug testing and travel) listed?

HOW TO APPLY

- | | Yes | No |
|---|--------------------------|--------------------------|
| 1. Is the application online? | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Are there clear instructions included with the application? | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Is there a description of the next steps in the application process? | <input type="checkbox"/> | <input type="checkbox"/> |

APPENDX 2C | SOURCING QUESTIONS/CHECKLIST

INTERNAL (GOVERNMENT) TALENT POOL

Organization: _____

Position: _____

- Yes No Is this a position for a recent CDP graduate?
- Yes No Is this a position for promoting a GS-15?
- Yes No Does the organization have a succession plan for this position and are internal qualified candidates available?
- Yes No Would someone else in the agency benefit from being rotated into this role?
- Yes No Does this role require deep government or agency expertise?

What outside agencies have similar positions and roles?

Do state and local governments have similar positions? How might you reach those employees?

What about people who aren't actively looking? Are there tools you can use to reach them?

EXTERNAL TALENT POOL**Organization:** _____**Position:** _____

What private sector or nonprofit organizations have similar roles or experience profiles?

What industries might potential candidates be working in?

What academic institutions might they have graduated from or be affiliated with?

What magazines or publications might they read?

What associations might they be a member of?

What affinity groups might they be a member of?

Yes No Would this be a position best filled by a search firm?

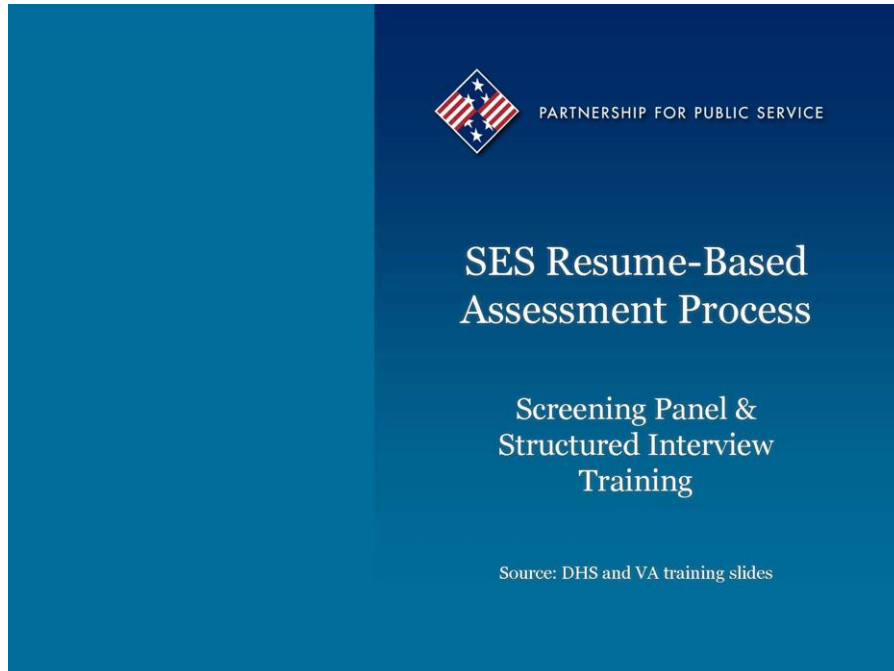
Yes No Have we considered diversity?

Yes No Should we advertise the position in media? If so which outlets?

APPENDIX 3 | ENHANCED ASSESSMENT

- 3A SCREENING PANEL AND STRUCTURED INTERVIEW TRAINING POWER POINT**
- 3B RESUME RATING SCALE**
- 3C SUPPLEMENTAL QUESTION TEMPLATE**
- 3D STRUCTURED INTERVIEW PANEL NOTES TEMPLATE**
- 3E STRUCTURED INTERVIEW CHECKLIST FOR PANEL MEMBERS**
- 3F STRUCTURED INTERVIEW PANEL RATING FORM**
- 3G REFERENCE CHECKING TIPS**

APPENDIX 3A | SCREENING PANEL AND STRUCTURED INTERVIEW TRAINING



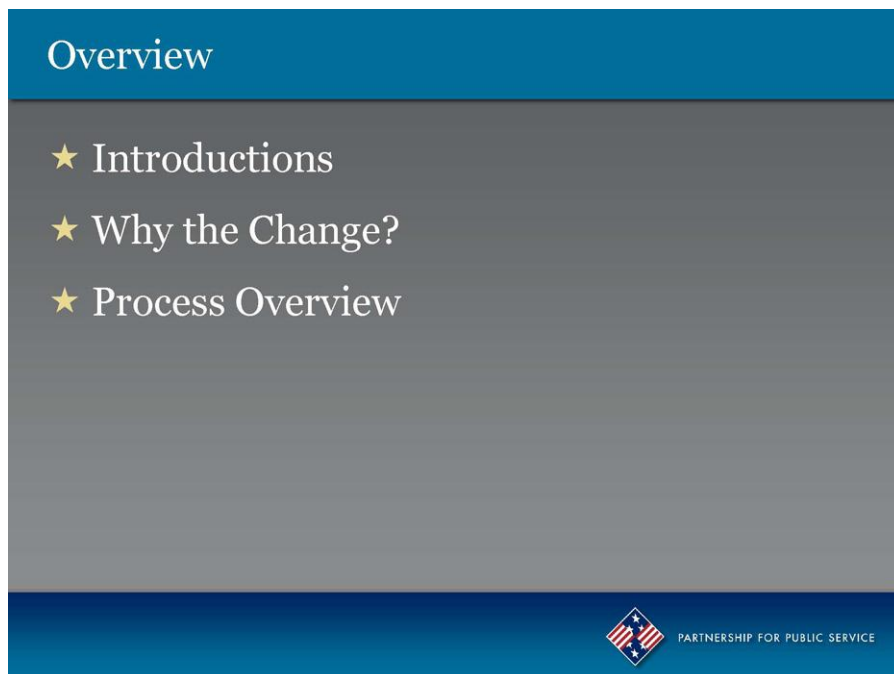
The slide features a dark blue background with a lighter blue vertical bar on the left. At the top right is the Partnership for Public Service logo, which consists of a diamond shape containing a stylized American flag, followed by the text "PARTNERSHIP FOR PUBLIC SERVICE". The main title "SES Resume-Based Assessment Process" is centered in a large, white, serif font. Below it, the subtitle "Screening Panel & Structured Interview Training" is centered in a smaller, white, serif font. At the bottom, the text "Source: DHS and VA training slides" is centered in a small, white, sans-serif font.

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SES Resume-Based Assessment Process

Screening Panel & Structured Interview Training

Source: DHS and VA training slides



The slide has a dark blue header with the word "Overview" in white. The main content area has a dark grey background with three bullet points, each preceded by a gold star. At the bottom right is the Partnership for Public Service logo, which consists of a diamond shape containing a stylized American flag, followed by the text "PARTNERSHIP FOR PUBLIC SERVICE".

Overview

- ★ Introductions
- ★ Why the Change?
- ★ Process Overview

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Why the Change?

- ★ Why has the Process Changed?
 - Hiring reform
- ★ What are the Benefits of this Change?
 - A streamlined evaluating and rating process
 - An effective structured interview process



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Why the Change?

- ★ Hiring Reform
 - Provides an applicant-friendly process
 - Applicants only submit a resume (Max 5 Pages)
 - ECQs narratives are not required
 - Fosters a diverse applicant pool
 - Generates more qualified external candidates (private sector)
 - Targets executive-level experience and specific job-related competencies
 - Structured interview and screening panels promote standardized candidate rating ensuring fair and valid assessments



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Steps in SES Resume-Based Hiring

- ★ 1: Job opportunity announcement closes
- ★ 2: Executive Resources determines minimum qualifications
- ★ 3: Screening panel rates applications, placing candidates in top, middle or bottom categories
- ★ 4: Screening panel reaches consensus for all groups. Only top group is referred to structured interviews.
- ★ 5: All applicants in *top group* participate in structured interviews.



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Steps in SES Resume Based Hiring

- ★ 6: Structured interview panel determines the best qualified candidate for hiring manager consideration based on interviews
- ★ 7: Selection document issued to selecting official. Selecting Official may or may not conduct additional interviews
- ★ 8: Selecting official makes selection and submits to Executive Resources Board for approval
- ★ 9: If approved, the candidate must clear the QRB, after which they are appointed



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Key Phases of Resume-Based Assessment Process

- ★ Phase 1: Executive Resources:
 - Organizes and trains screening and structured interview panels
 - Conducts minimum qualification screening
- ★ Phase 2: Screening Panel:
 - Evaluates and rates applicants
 - Recommends applicants for structured interview
- ★ Phase 3: Interview Panel: (can be same individuals as screening panel)
 - Conducts structured interviews
 - Recommends candidate to selecting official
- ★ **Promote Diversity and Inclusion throughout process!*



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Resume-Based Assessment Process: Phase 1

- ★ Executive Resources:
 - Organizes and trains rating and structured interview panels
 - Review list of panel members – confirm availability
 - Train hiring team in advance
 - Ensure benchmarks are clear and understandable
 - Ensure the process, roles and responsibilities are understood by all stakeholders



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Resume-Based Assessment Process: Phase 1

- ★ Executive Resources Conducts/Completes Minimum Qualification Screening:
 - Reviews and completes initial screening
 - Technical qualifications questionnaire included in job opportunity announcement reviewed and screened (if applicable)
 - Applications ready for screening panel review



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Resume-Based Assessment Process: Phase 2

- ★ Screening Panel Evaluates and Rates Applicants
 - Step 1 – Review the material to understand the position's requirements
 - Job opportunity announcement
 - Position description and qualifications standards
 - Rating scale/benchmarks
 - Step 2 – Evaluate each applicant's resume to identify executive level experience
 - Complexity – size of staff, budget, organization
 - Scope/breadth of impact – outcome/results



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Resume-Based Assessment Process: Phase 2

- Step 3 – Rate Each Applicant
 - Top – Full mastery of ECQs and technical competencies (if applicable); highly recommended for interview
 - Middle – Partial mastery of ECQs and technical competencies (if applicable); may recommend for interview
 - Bottom – Experience limited and narrow in scope and complexity; limited mastery of ECQs and technical competencies; do not recommend for interview
- *Friendly Reminder: Evaluate applicants on job-related criteria without discriminating by age, sex, race, color, religion, national origin, marital status, non-disqualifying disability or lawful political affiliation*



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Resume-Based Rating Scale: Phase 2

Top Group	Experience based on scope, complexity, quality and depth at an executive level; full mastery of ECQs and technical competencies, if applicable
Middle Group	Limited experience in scope, complexity, quality and depth of experience at an executive level; partial mastery of ECQs and technical competencies, if applicable
Bottom Group	Experience limited and narrow in scope and complexity; limited mastery of ECQs and technical competencies



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Resume-Based Rating Scale: Phase 2

Top Group	Highly recommend for interview
Middle Group	May recommend for interview
Bottom Group	Do not recommend for interview



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Sample Rating Guide: Phase 2

<p>Top Group Highly recommend for interview</p>	<p>The scope, complexity, quality and depth of experiences described in the resume demonstrate the ability to perform executive level functions. Individual has experience in senior executive level jobs, either in government or private industry, that demonstrate the ECQs. Full mastery of ECQs.</p> <p>Individual has a mastery of the technical competencies (if applicable).</p>
<p>Middle Group May recommend for interview</p>	<p>The scope, complexity, quality and depth of experiences described in the resume indicate a moderate to high potential to succeed as a senior executive. Individual has limited experience in senior executive jobs in either the government or private industry. Experience is somewhat limited in scope or complexity (for example, functional unit initiatives vs. department-wide or corporate-wide initiatives) but demonstrates potential on the ECQs. Partial mastery of ECQs.</p> <p>Individual may have limited mastery of the technical competencies (if applicable).</p> <p>This category is for individuals who did not make it into the top group but either have full mastery of the technical domain or have full mastery of the ECQs, but not both.</p>
<p>Bottom Group Do not recommend for interview</p>	<p>The scope, complexity, quality and depth of experiences described in the resume indicate a limited potential to succeed as a senior executive. Experience is very limited and narrow in scope and complexity. Demonstration of ECQs is not evident or limited mastery of ECQs.</p> <p>Individual has only minimal knowledge of technical competencies (if applicable).</p>



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Resume-Based Assessment Process: Phase 2

- Step 4: Screening Panel Conducts Consensus Meeting
 - Ensure Executive Resources is informed /included
 - Discuss variances and reach consensus on each applicant's rating
 - Determine which applicant(s) will move forward to the structured interview process



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Resume-Based Assessment Process: Phase 3

- ★ Interview panel conducts structured interview
- ★ What is a structured interview and why do it?



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Resume-Based Assessment Process: Phase 3

★ Structured vs. Unstructured Interviews

- Structured Interview
 - All candidates are asked the same questions in order
 - All candidates are evaluated using a common rating scale
 - Interviewers are in agreement on acceptable answers
- Unstructured Interview
 - Candidates may be asked different questions
 - A standardized rating scale is not required
 - Interviewers do not need to agree on acceptable answers



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Resume-Based Assessment Process: Phase 3

★ Why Structured Interview?

- The structured interview has a demonstrated high degree of reliability, validity and legal defensibility
- The process is legitimate and reliable
- The interview is the same for every candidate and equal opportunity is ensured
- The same competencies are evaluated in each interview, which ensures reliability
- The flow of the interview is controlled
- Opportunity exists to address candidates' concerns



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Resume-Based Assessment Process: Phase 3

- Questions are pre-written, reducing nervousness for the interviewer
- The interviewer's time is maximized
- Questions are tailored to each vacancy and focus on the most critical ECQ competencies
- Job-related assessment is provided
- Carefully planned, job-related questions can be systematically scored to reliably identify leaders with high potential
- Behavior-based interview evaluations based on psychological research indicate past behavior is the best predictor of future behavior



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Resume-Based Assessment Process: Phase 3

- All applicants are asked the same questions and are evaluated against the same scale
- Each SES job may require different questions
- Supplemental Questions vs. Probing Questions
 - Supplemental questions are designed to address technical qualifications
 - Probing questions are designed to clarify initial question
- Topics that should not be addressed
 - Gender/race, marital/family status, age, religion, military service, credit history, criminal record or disability/health status



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Resume-Based Assessment Process: Phase 3

★ Each Structured Interview Member Will:

- Review the questions and corresponding benchmarks before the interview
- Document the interview on the proper form
 - Document notes - situation, action, outcome; detailed and copious notes during the interview will make completing the package much easier
 - Consider including Executive Resources as observer/additional note taker during interviews



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Resume-Based Assessment Process: Phase 3

- Score each applicant's response according to the benchmark: (e.g., score 3, 2 or 1)
 - 3 – Applies the competency in exceptionally difficult situations, serves as a key resource and advises others
 - 2 – Applies the competency in difficult situations, requires occasional guidance
 - 1 – Applies the competency in the simplest situations, requires close and extensive guidance



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Resume-Based Assessment Process: Phase 3

- Always assess applicants on job-related criteria
- Avoid common rating errors
 - Personal bias, halo effect, central tendency, leniency, strictness, *similar to me*



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Resume-Based Assessment Process: Phase 3

- Structured Interview Consensus Meeting
 - Discuss discrepancies in scores (difference of more than 1 point) for each competency and reach consensus
 - Tally scores to determine the natural break point
 - Identify best qualified that will be forwarded to selecting official



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Wrap-Up

- ★ Resume-based hiring is an investment in human capital management
- ★ Moving Forward
 - Survey screening and structured interview panel
 - Capture and reflect on lessons learned
 - Streamline the process when possible



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Wrap-Up

- ★ Resume-based hiring is an investment in human capital management
- ★ Moving Forward
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APPENDIX 3B | RESUME RATING SCALE

<p>Top Group</p> <p>Highly recommend for interview</p>	<p>The scope, complexity, quality and depth of experiences described in the resume demonstrate the ability to perform executive level functions. Individual has experience in senior executive level jobs, either in government or private industry, which demonstrate the ECQs. Full mastery of ECQs.</p> <p>Individual has a mastery of the technical competencies (if applicable).</p>
<p>Middle Group</p> <p>May recommend for interview</p>	<p>The scope, complexity, quality and depth of experiences described in the resume indicate a moderate to high potential to succeed as a senior executive. Individual has limited experience in senior executive jobs in either the government or private industry. Experience is somewhat limited in scope of complexity (for example, functional unit initiatives vs. department-wide or corporate-wide initiatives) but demonstrates potential on the ECQs. Partial mastery of ECQs.</p> <p>Individual may have limited mastery of the technical competencies (if applicable).</p> <p>This category is for individuals who did not make it into the top group but either have full mastery of the technical domain or have full mastery of the ECQs, but not both.</p>
<p>Bottom Group</p> <p>Do not recommend for interview</p>	<p>The scope, complexity, quality and depth of experiences described in the resume indicate a limited potential to succeed as a senior executive. Experience is very limited and narrow in scope and complexity. Demonstration of ECQs is not evident or limited mastery of ECQs.</p> <p>Individual has only minimal knowledge of technical competencies (if applicable).</p>

APPENDIX 3C | SUPPLEMENTAL QUESTION TEMPLATE

INSTRUCTIONS

- After reviewing each candidate's resume, list any experience-related questions the panel will ask.
- If the panel decides to ask ALL candidates additional questions, list them below, as well.
- Each panel member will complete this form for each candidate. Use the space below to take notes.

Question: _____

Notes

Panel Member Signature

APPENDIX 3D | STRUCTURED INTERVIEW PANEL NOTES TEMPLATE

Candidate to be assessed: _____ Date of Interview: _____
 Interview Start Time: _____ Interview Finish Time: _____

Developing Others		
Definition: Develops the ability of others to perform and contribute to the organization by providing ongoing feedback and opportunities to learn through formal and informal methods.		
Describe specific behaviors observed/described:		
Situation	Action	Outcome
		Comments/Rationale
(Write additional behavioral observations on the back of this page and on additional pages, as needed.)		
Final Evaluation:	Printed Name:	Signature:
Situation	Action	Outcome
		Comments/Rationale

APPENDIX 3E | STRUCTURED INTERVIEW CHECKLIST FOR ASSESSORS

ON THE DAY OF THE INTERVIEW, BEFORE THE FIRST INTERVIEW BEGINS

- ___ Make sure you have adequate numbers of the interview questions, panel consensus forms, note-taking and rating forms, and benchmarks.
- ___ Check your schedule for the day.
- ___ Ensure that all assessors have reviewed the scoring benchmarks and interview procedures.
- ___ Verify that the other panel members and scheduled participants are present.

RIGHT BEFORE THE INTERVIEW

- ___ Welcome the individual.
- ___ Explain interview procedures to the individual, including how much time the interview will take.
- ___ Answer any questions the individual has about the interview process **prior** to the actual start of the interview. Once the interview begins, the individual will **not** be allowed to ask clarifying questions.

DURING THE INTERVIEW

- ___ State the competency, read the competency definition once and then read the question twice to the individual.
- ___ Ask lead question and all necessary probe questions for each competency.
- ___ Take detailed and thorough notes to document responses throughout the interview.
- ___ Withhold evaluation on the candidate's responses until after the interview is completed.

AFTER THE CANDIDATE HAS ANSWERED ALL STRUCTURED INTERVIEW QUESTIONS

- ___ Proceed with the supplemental portion of the interview process.

AFTER THE CANDIDATE HAS ANSWERED ALL STRUCTURED INTERVIEW AND SUPPLEMENTAL INTERVIEW QUESTIONS

- ___ Ask the individual **not** to discuss the interview with other individuals.
- ___ Thank the individual for his or her participation and dismiss the individual.
- ___ Independently rate each individual on each of the competencies. Ensure that other panelists independently prepare their individual ratings, jointly complete the *Structured Interview Panel Consensus Evaluation Form* and ensure that all panel members sign the form (if present).
- ___ Return all panelists' notes, candidates' notes, evaluation forms and question booklets to the coordinator.

APPENDIX 3F | STRUCTURED INTERVIEW PANEL RATING FORM

Candidate Name: _____

Date of Interview _____

Instructions: Transfer each competency rating onto this form. If all of the individual evaluations for a competency are within 1 point, enter the average rating in the column labeled Consensus Group Rating. If more than one point separates any two raters (for example, 1, 2, 4 or 3, 5, 5), a consensus discussion must occur with each panel member justifying his or her evaluation. Any changes to the Individual Evaluations during consensus discussion should be initialed by the panel members on their own forms prior to being given to the panel chairperson. A consensus group rating must be entered for each competency. All panel members should sign the bottom of the form in the designated space.

Competency	Panelists Individual Ratings			Consensus Group Rating (average)
	(1)	(2)	(3)	
Vision				
Developing Others				
Accountability				
Technology Management				
Partnering				
Comments:				
Name of Panel Chairperson:				
Name of Panel Member Two:				
Name of Panel Member Three:				

INSTRUCTIONS

Who Should Complete This Form?

The *Structured Interview Panel Consensus Form* should be completed by the chair of the panel.

How Should I Complete This Form?

1. Enter the individual's name and the date of his or her interview.
2. Enter the assessors' ratings for the appropriate competencies.
3. Compare the assessors' ratings for each competency to determine where ratings are within one point (for example, 2, 3, 3 or 2, 3, 4) for the competencies.
4. If the ratings are within one point, average the three ratings for the competencies on the Final Consensus Panel Rating column. For example, ratings of 2, 3, 3, would result in an overall rating of 2.66. As a result of the interview, each candidate will have a final numerical evaluation for each competency assessed.
5. Assessors must initial any changes made to their individual ratings as a result of the consensus discussion on their own note taking and rating form.
6. Enter comments as appropriate to document the rationale for the Final Consensus Panel Rating based on consensus discussions.

Have each panel member sign and date the Panel Consensus Form.

APPENDIX 3G | REFERENCE CHECKING TIPS

OVERVIEW

At this stage of the hiring process, you might be getting impatient. You have found the perfect candidate for a vital executive position that cannot be filled soon enough. He or she has provided a five-page resume displaying extensive experience and wowed the interview panel with personality and a clear vision of his or her role in the agency. Before proceeding, reference checks should glean information from a secondary source familiar with the candidate. References usually confirm your agency's assessment; they are well qualified and suitable for the position. However, sometimes questions might surface about candidate's fit or if they are able to perform at a high level.

You and your co-workers will have to work with this candidate, so take advantage of opportunities to speak with someone who has already gone through it.

TIPS

- Conduct reference checks, assigning experienced individuals, ideally with final hiring authority, to do so.
- Contact three references at minimum.
- Target references positioned to comment on roles that candidates mention during interviews.
- Ask questions relevant to the position at hand.
- Obtain candidates' consent before checking references, either through language in the job application, the Declaration for Federal Employment form, a similar agency-developed form or in person.

POTENTIAL QUESTIONS

- Would you please verify that (applicant) worked for your organization from (date) to (date)?
- What was his/her job title?
- What type of work did (applicant) do?
- Describe a typical workday for this applicant: hours, with whom did he/she interact, program/policy issues for which he/she was responsible?
- Was the quality of work (applicant) performed at a high-quality level?
- Describe how (applicant) got along with coworkers, supervisors and subordinates.
- Describe how (applicant) got along with customers or clients.
- How did (applicant) perform on the job compared to other employees with similar job duties?
- Do you think this individual will perform well in (briefly describe an element of the role)?
- How would you describe (applicant's) leadership skills?
- Let me describe a typical work situation for you: tell me what are the applicant's top three or four skills that would enable him or her to deal with this issue successfully
- Would you like to add any other information about the candidate's work?

APPENDIX 4 | STREAMLINED QRB

4A QRB PACKAGE TEMPLATE

4B QRB FINAL CHECKLIST

APPENDIX 4A | QUALIFICATIONS REVIEW BOARD PACKAGE TEMPLATE

Instructions for Completing the Qualifications Review Board (QRB) Template

This template is used to capture an agency’s findings about a candidate’s executive core qualifications solely for the purpose of requesting QRB certification of that individual for initial career appointment to the Senior Executive Service. This template can only be used if a “Structured Interview” was conducted as part of the selection process.

Please use the **Rating** column to state your agency’s Executive Resources Board’s or Appointing Authority’s judgment about the candidate’s relative strength in each of the Executive Core Qualifications. Then use the **Best Evidence** column to identify/describe the basis for those judgments. You should present both the demonstrated executive experience and results achieved in the **Best Evidence** column, and then identify the source of that information by using these initials.

- R** Resume
- AR** Accomplishment Record
- I** Interview(s)
- V** Verification
- O** Other source of information; please specify what this other source of information is, e.g., 360-degree assessment

As applicable, indicate where the information may be located within that source, (e.g., the experience block within the Resume, the particular Accomplishment Record, the item or response within any record of Interview or Verification, or the place within any other (“O”) source document the agency relies upon as **Best Evidence** for its rating of the ECQ or competency.)

Each rating should be made using the scale indicated below.

- 1** Demonstrated executive experience is unusually strong for initial career SES appointee in this area.
- 2** Demonstrated executive experience is sufficient to predict success in the SES without early supplemental development.
- 3** Demonstrated executive experience is sufficient to predict success in the SES but early supplemental development is planned.
(If any ECQ is rated 3, the agency should specify on an attachment the kind of supplemental development planned for the candidate and the schedule on which it will occur.)
- 4** Limited demonstrated experience. Targeted developmental plan proposed.

The fundamental competencies (interpersonal skills, oral communication, integrity/honesty, written communication, continual learning, and public service motivation) are shown under each ECQ because they are the foundation for success in each ECQ. They need not be addressed directly as long as the presentation, in its totality, shows mastery of these competencies on the whole.

Failure to observe the following will result in a case being returned without action:

If any ECQ is rated 4, the Executive Resources Board must: 1) identify any special or unique qualities that have caused the ERB to conclude the individual has a strong likelihood of executive success despite the lack of evidence supporting possession of the ECQ; and 2) provide a

development plan that stipulates the development strategies the ERB and/or appointing authority will provide within the first year after appointment to strengthen the individual's ECQ to ensure executive success. This strategy must be signed by the ERB chairman and/or appointing authority. A QRB will consider any special or unique qualities identified and the agency's strategy and plan in determining whether to certify the candidate.

TIPS FOR COMPLETING THE TEMPLATE

- On average, 2-3 pages should be sufficient to provide the best evidence for ALL ECQs
- When providing evidence for each ECQ, please think of the individual competencies within the ECQ; provide evidence that exemplifies the highest level of proficiency or mastery the candidate has demonstrated
- This template is meant to be completed by the ER Staff or by the selectee along with the ER Staff; however, the signing appointing authority or ERB Chairman is responsible for its content and affirmations
- Clearly indicate supervisory experience
- Provide specific detailed examples rather than general, global descriptions

General tip for qualifying:

OPM has received feedback from various QRB raters on what they are not seeing in some of the selectees they have disapproved. This feedback deals with two ECQs, specifically:

Leading Change

This core qualification involves the ability to bring about strategic change to meet organizational goals, both within and outside the organization. Inherent to this ECQ is the ability to establish an organizational vision and to implement it in a continuously changing environment. Candidates need to emphasize the *Strategic Thinking* and *Vision* competencies of this ECQ. Rather than simply describing loosely connected activities and actions taken to implement a program or initiative, candidates must clearly describe how those actions were part of an intentional, strategic, and systematic effort to lead and implement a change effort.

Business Acumen

This core qualification involves the ability to manage human, financial (including procurement), and information resources strategically, and in an integrated way. (QRB raters do not necessarily expect to see that candidates have managed all three strategically, but at least one should be described in a way that showed they had accountability, e.g., resource management of an organization where the candidate was the manager). QRB raters expect candidates to have high levels of experience in all three, including supervising employees and direct experience in strategic resource management of a program and/or group (e.g., human, financial/budget, IT). Make sure the evidence demonstrates a strategic approach, as opposed to only a programmatic change, and is more tactical than process oriented.

Executive Core Qualifications	Rating (1, 2, 3 or 4)	Best Evidence (R, AR, I, V, O—if using “O”, please specify the source)
Leading Change Creativity and Innovation External Awareness Flexibility Resilience Strategic Thinking Vision Fundamental Competencies		
Leading People Conflict Management Leveraging Diversity Developing Others Team Building Fundamental Competencies		
Results Driven Accountability Customer Service Decisiveness Entrepreneurship Problem Solving Technical Credibility Fundamental Competencies		
Business Acumen Financial Management Human Capital Management Technology Management Fundamental Competencies		
Building Coalitions Partnering Political Savvy Influencing/Negotiating Fundamental Competencies		

Appointing Authority _____
 (Or Chairman, Executive Resources Board)

Date _____

APPENDIX 4B | QRB FINAL CHECKLIST

This checklist is designed for use in preparing or reviewing ECQ narratives prior to submission to the Office of Personnel Management Qualifications Review Board (QRB). Before you begin, it is strongly recommended that you review OPM's Guide to Senior Executive Service (SES) Qualifications (available at opm.gov).

Agency Name:	
Candidate Name:	
Position Title:	
Date Due to OPM:	

<input type="checkbox"/>	Scope
	Brief introductory paragraph summarizing the candidate's executive experience. Include:
	<ul style="list-style-type: none"> • Size of organization
	<ul style="list-style-type: none"> • Field vs. headquarters
	<ul style="list-style-type: none"> • Size of budget
	<ul style="list-style-type: none"> • Number of employees managed

Address each ECQ separately with specific examples of experience. Follow OPM's Challenge-Context-Action-Results (CCAR) model to describe experience and accomplishments. Please quantify/qualify accomplishments.

<input type="checkbox"/>	The ECQs
	<p>Fundamental Competencies - These competencies are the foundation for success in each of the Executive Core Qualifications.</p> <ul style="list-style-type: none"> • Competencies - Interpersonal skills • Competencies - Oral communication • Competencies - Public service motivation • Competencies - Continual learning • Competencies - Written communication • Competencies - Integrity/honesty. <p>Guidance - Address competencies throughout the document by including examples as appropriate, i.e., presentation at a conference, briefed Senior Officials in the agency, writing policy and/or regulations, conducting high-level meetings, etc.</p>

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 continuous changing environment.

- Competencies - Creativity & innovation
- Competencies - External awareness
- Competencies - Flexibility
- Competencies - Resilience
- Competencies - Strategic thinking
- Competencies - Vision

Guidance - Emphasize candidate's initiative. It is not enough just to be a good manager; candidates should also demonstrate the "perspective and approach of an executive." Similarly, it is not sufficient to simply carry out a decision or strategy determined by a higher level official; the candidate should demonstrate he/she is taking initiative to identify issues and problems and taking ownership to resolve them. Candidates should strive to show evidence of creativity, since failure to do so may suggest a lack of empowerment. They are encouraged to focus more on the "strategic" than the "tactical," and to include their own visions and contributions as leaders. In conveying specific examples, contrast the "before" and "after" to fully illustrate the impact of any organizational transformation that took place.

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.

- Competencies - Conflict management
- Competencies - Leveraging diversity
- Competencies - Developing others
- Competencies - Team building.

Guidance - Focus on traditional supervisory/managerial roles, such as coaching/motivating, performance management, conflict resolution, etc. Include references to leveraging diversity in staffing decisions, work assignments, employee development, etc. Include an example of a conflict managed.

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 calculating risks.

- Competencies - Accountability,
- Competencies - Customer service
- Competencies - Decisiveness
- Competencies - Entrepreneurship
- Competencies - Problem solving
- Competencies - Technical credibility

Guidance - Include "reactive" examples of problem-solving as well as "proactive" examples, e.g., how candidate incorporated strategic planning and implement tracking systems to monitor program results and make adjustments. Address accountability and customer.

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

- Competencies - Financial management
- Competencies - Human capital management
- Competencies - Technology management

Guidance - Focus on resource management, with a particular emphasis on financial management (budget). Human resources management, information technology, and contracting and procurement are also important, but they may not be sufficient to demonstrate this ECQ if there is no evidence of financial management. Give examples for each of the three competencies.

Building Coalitions – This core qualification involves the ability to build coalitions internally and with other Federal agencies, State and local governments, nonprofit and private sector organizations, foreign governments, or international organizations to achieve common goals.

- Competencies - Partnering
- Competencies - Political savvy
- Competencies - Influencing/negotiating.

Guidance - Demonstrate external contacts as well as internal interactions. The CCAR model is especially important here; instead of just listing committees and groups, candidates should explain the issues they dealt with and the negotiations, approaches, etc., that they used to reach a consensus or other result.

Writing Guidelines

- Avoid statements about personal beliefs, philosophies, or theories. (It should focus instead on specific challenges, results, and descriptions of what the candidate did.)
- Show, in its totality, mastery of the underlying competencies. (Do not address each competency directly - it is not necessary.)
- Be written in the first person, using clear, concise statements.
- Spell out all acronyms.
- Use reasonable margins (1 inch) and fonts (not less than 12 point).
- Be free of typographical errors, etc. (Document should be spell-checked and then read again for content to identify misuse of words, missing words, unclear sentences, etc.). Have a colleague read the document to make sure all the ECQs are addressed completely, the material flows, and for proofing.
- Do not exceed 10 pages.