



United States Department of the Interior

OFFICE OF THE SECRETARY
Washington, D.C. 20240

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Personnel Bulletin No. 99-09 (920) (317)

Subject: Requesting Approval from the Executive Resources Board to Recruit for Senior Executive Service Positions and for New, Competitive Career Senior Executive Service Appointments

This guidance revises procedures for requesting approval from the Executive Resources Board (ERB): (1) to recruit for Senior Executive Service (SES) positions, and (2) for new, competitive career SES appointments. The guidance contained in this Personnel Bulletin supersedes that found in 370 DM 920,4.4 (dated 09/30/86) and 370 DM 920, Appendix B (dated 10/06/81).

In support of the Department's goal to improve the diversity of its workforce, the ERB directs that every recruitment for an SES vacancy will be a targeted recruitment to try to ensure diverse representation among applicants. To assist in this process, the ERB requests that the Deputy Assistant Secretary for Workforce Diversity: (1) review the Targeted Recruitment Plan (Plan) for each SES recruitment to ensure its objectives and methods support the Department's diversity goal; and (2) review the pool of qualified applicants for each SES vacancy to assess diversity representation and/or to determine that the targeted recruitment plan for the recruitment has been effectively executed.

I REVIEW of TARGETED RECRUITMENT PLANS and DIVERSITY REPRESENTATION by the DEPUTY ASSISTANT SECRETARY for WORKFORCE DIVERSITY

Before the ERB will approve a request to recruit for an SES vacancy, the Deputy Assistant Secretary for Workforce Diversity must review and approve the targeted recruitment plan for the vacancy. Before the ERB will approve a new, competitive career SES appointment, the Deputy Assistant Secretary for Workforce Diversity will certify either that there is diversity represented in the pool of qualified applicants or that the targeted recruitment plan has been effectively executed. Attachments 1-A and 1-B provide the formats to be used to obtain these approvals from the Deputy Assistant Secretary for Workforce Diversity.

A. Requests for ERB approval to recruit for an SES vacancy

Bureaus/Offices will submit all documents to request ERB approval to recruit for an SES vacancy to the Director, Office of Personnel Policy. Staff of the Office of Personnel Policy will provide the Plan to the Workforce Diversity staff for review. Questions or requests for further information regarding the Plan will be communicated directly from the Workforce Diversity staff to the Bureau/Office contact. Once the Plan is approved by the Deputy Assistant Secretary for Workforce Diversity, the Workforce Diversity staff will so notify the requesting Bureau/Office and will return the Plan and the approval document to the Office of Personnel Policy for review and transmittal to the ERB.

B. Requests for ERB approval of new, competitive career SES appointments

The Deputy Assistant Secretary for Workforce Diversity must certify that there is diversity representation in the pool of qualified applicants for an SES vacancy or that the Plan for the SES vacancy has been effectively executed. This certification must be made before the executive rating panel for the SES vacancy convenes and before the Bureau/Office Head makes a recommendation to the ERB for appointment of a candidate to the career SES.

To obtain this certification, Bureaus/Offices will submit aggregate data regarding race, national origin, and gender of the applicants for an SES vacancy directly to the Office of the Deputy Assistant Secretary for Workforce Diversity, after the servicing personnel specialist and/or subject matter expert has determined which applicants meet minimum eligibility requirements and before these eligible applicants are rated and ranked by the executive rating panel. (See Attachment 2 for aggregate data reporting format.)

Bureaus/Offices are not to proceed with the rating, ranking, and initial selection processes until they receive certification from the Deputy Assistant Secretary for Workforce Diversity that there is diversity representation among qualified applicants for the SES vacancy or that the targeted recruitment plan for the SES vacancy has been effectively executed.

II DOCUMENTS REQUIRED for ERB APPROVAL to RECRUIT for SES POSITIONS

The following documents must be submitted to the Director of Personnel Policy:

- A. Memorandum to the Chair, ERB, requesting approval to recruit for the SES position -- signed by the Bureau/Office Head through the:
 - 5. Organization's Assistant Secretary;
 - 6. Director of Personnel Policy; and
 - 7. Deputy Assistant Secretary for Human Resources.
- B. Current position description for the vacant SES position.
- C. Targeted Recruitment Plan to achieve diversity in the applicant pool. (Plan will be approved by the Deputy Assistant Secretary for Workforce Diversity before the request is staffed to the ERB for its approval.)
- D. Proposed vacancy announcement, including the executive qualification factors for the position.
- E. Proposed crediting plan.
- F. List of the proposed members of the executive rating panel.

Requests for approval to recruit for SES vacancies may be returned to the originating office without action if all required documents are not included to support the requests.

III DOCUMENTS REQUIRED for ERB APPROVAL of NEW, COMPETITIVE CAREER SES APPOINTMENTS

The following documents must be submitted to the Director of Personnel Policy:

- E. Memorandum to the Chair, ERB, requesting approval of the new, competitive career SES appointment and recommending the initial SES pay rate -- signed by the Bureau/Office Head through the:
 1. Organization's Assistant Secretary;
 2. Director of Personnel Policy; and
 3. Deputy Assistant Secretary for Human Resources.

- B. Copy of the final vacancy announcement.

- C. Record that the Deputy Assistant Secretary for Workforce Diversity has certified there is diversity representation in the pool of qualified applicants or agreed that the Targeted Recruitment Plan for the SES vacancy has been effectively executed . (The record must be clear that the Deputy Assistant Secretary for Workforce Diversity reviewed and certified the diversity representation or agreed that the Plan was effectively carried out **before** the selection process continued to the executive rating panel and tentative selection stages.) (See Attachment 1-B)

- D. Table showing aggregate gender and race/national origin data for:
 1. All applicants;
 2. Applicants meeting minimum qualifications;
 3. Applicants certified as best qualified by executive rating panel; and
 4. Proposed selectee¹
 (See Attachment 2 for format.)

- E. Comparative analysis of all best qualified candidates to support the proposed selection. (See Attachment 3 for sample analysis.)

- F. Table showing the recommending official's actions regarding each best qualified candidate (e.g., interviews; reference checks; records checks). (See Attachment 4 for format.)

- G. Copy of proposed selectee's application and statement addressing the Executive Core Qualifications.

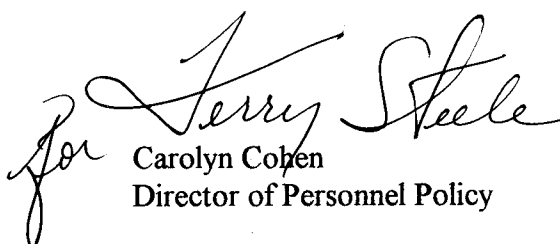
- H. Completed OPM Form 1390 - Executive Personnel Transaction. Include the OPM USAJOBS vacancy announcement number for the position in block VII, Agency Remarks. (Note: OPM Form 1390 will no longer be required upon the implementation of OPM's automated Executive Information System.)

¹ Office of Personnel Policy staff will remove information about the gender, race, and national origin of candidates from the request package and retain it. This information will not be provided to the Chair of the ERB or any other official involved in the selection process.

Requests for approval of new, competitive career SES appointments may be returned to the originating office without action if all required documents are not included.

This guidance is effective immediately and will be incorporated into the Departmental Manual chapter providing guidance on recruiting for and filling SES positions.

Questions regarding the procedures to obtain the Deputy Assistant Secretary for Workforce Diversity's approval either that the Targeted Recruitment Plan has been effectively executed or that there is diversity representation in the qualified applicant pool may be directed to the Office for Equal Opportunity [Mercedes Flores at (202) 208-3952]. Questions regarding the other provisions of this guidance may be directed to the Office of Personnel Policy, Executive Resources and Career Management Team [Terry Steele at (202) 208-5285 or Robert Skinner at (202) 208-7765].

A handwritten signature in cursive script that reads "for Terry Steele". The word "for" is written in a smaller, simpler script to the left of the main signature.

Carolyn Cohen
Director of Personnel Policy

Attachments



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SES TARGETED RECRUITMENT PLAN CERTIFICATION

Bureau/Office: _____

Position: _____

Checklist used for reviewing Targeted Recruitment Plan	Yes	No
1. Plan contains an analysis of SES representation.	_____	_____
2. Plan contains analysis of clientele SES position will serve.	_____	_____
3. Plan contains an analysis of previous recruitment barriers.	_____	_____
4. Vacancy is open to all sources.	_____	_____
5. Announced on OPM's USA Jobs.	_____	_____
6. Sent to appropriate professional and community organizations.	_____	_____
7. Plan includes intense outreach to under-represented groups.	_____	_____
8. Procedure for sending follow-up letter for collecting applicant background data included.	_____	_____
9. Diversity exists in the proposed executive rating panel.	_____	_____

I hereby approve the objectives and methods of the targeted recruitment plan for this vacancy.

Deputy Assistant Secretary for Workforce Diversity_____
Date



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CERTIFICATION OF DIVERSITY REPRESENTATION IN POOL OF QUALIFIED APPLICANTS FOR SES POSITIONS

I hereby certify that I have reviewed the pool of qualified applicants and find there is diversity representation in the pool or that the targeted recruitment plan for this vacancy has been effectively executed.

Comments (if any):

Deputy Assistant Secretary for Workforce Diversity

Date

SAMPLE

R/NO-GENDER -- STAFFING INFORMATION

Bureau, Division

Position Title, ES-xxxx

Vacancy Announcement Number

	GENDER			R/NO CODE*					
	Male	Female	Unknown	A	B	C	D	E	Unk
All Applicants	8	6	0	1	0	3	2	5	3
All Qualified Applicants	6	4	0	1	0	2	2	3	2
All Certified Applicants	1	3	0	0	0	1	1	2	0
Proposed Selectee		X				X			

*A - American Indian or Alaskan Native
 B - Asian or Pacific Islander
 C - Black, not of Hispanic Origin
 D - Hispanic
 E - White, not of Hispanic Origin

This information is compiled for statistical purposes only and will not to be provided to any official involved in the selection process. It may be used in monitoring the targeted recruitment process by those offices responsible for such tasks.

SAMPLE**COMPARATIVE ANALYSIS of BEST QUALIFIED CANDIDATES****Bureau, Division:** XXXX**Position Title, ES-xxxx:** Director of Public Relations and Grants Management,
ES-0340**Vacancy Announcement Number:** BU-XX-XXX**Best Qualified Candidates:** (1) Jane Doe; (2) John Public; (3) Betty Smith**Executive Qualification Factor #1: Knowledge of and professional experience applying principles, objectives, and techniques of public relations.**

All three best qualified candidates have extensive experience in public relations. However, Jane Doe's experience is limited in that she has worked only with a conservation advocacy group as a lobbyist and director of media relations. John Public has over 10 years' supervisory experience with three cabinet-level agencies working in public affairs and Congressional relations. However, of the three candidates, Betty Smith's career has provided the most varied and extensive experience in public relations. For five years, Ms. Smith served as chief of a Congressional staff which designed publications on environmental topics, handled media inquiries and public affairs activities, and coordinated meetings with lobbyists and special interest groups. She has over seven years' experience as Chief of External Affairs with the U.S. Department of XXX, during which time she directed a staff of 15 in carrying out public affairs and Congressional liaison programs, coordinating media events, and developing publications on conservation and environmental issues.

Executive Qualification Factor #2: Skill in managing Federal grants programs.

Jane Doe worked with the U.S. Department of XXX for 10 years as a Grants Management Specialist (GS-12/13 levels), evaluating proposals for entitlement grants for education programs for underprivileged children and monitoring the funded programs to ensure they were in compliance with all requirements. However, Ms. Doe does not have experience directing a grants program or supervising other Grants Management Specialists. John Public oversaw a \$50 million dollar program with the Department of XXX to provide grants to assist communities in establishing enterprise zones in blighted urban areas. Again, Betty Smith's experience in this factor is more extensive and at a higher level than that of the other candidates. She served for four years as Director of Grants with the Department of XXX, directing 20 employees in managing a \$100 million grant program to State and local governments for reclaiming toxic waste sites. As Chief of External Affairs with XXX, Ms. Smith was tasked with a special 6-month project to evaluate the Department's past grants to determine the status of the programs, and to make recommendations for improving the delivery of the funds.

SAMPLE

RECOMMENDING OFFICIAL'S ACTIONS

Bureau, Division

Position Title, ES-xxxx

Vacancy Announcement Number

Please check the appropriate block(s) to indicate actions taken in the selection process:

Candidate	Document Review*	In-Person Interview	Telephone Interview	Reference Check	Other
1.					
2.					
3.					

*Reviewed documents such as applications, executive core qualifications statements, performance appraisals, official personnel folders, employee performance files, etc.