



## Department of Energy

Washington, DC 20585

JUL 30 2014

### MEMORANDUM FOR HUMAN RESOURCE DIRECTORS

FROM:

  
KENNETH T. VENUTO, DIRECTOR  
HUMAN CAPITAL MANAGEMENT

SUBJECT:

POLICY GUIDANCE MEMORANDUM #36  
PROCEDURES FOR SENIOR EXECUTIVE SERVICE (SES) COMPETITIVE STAFFING

**Purpose:** Each agency is responsible for establishing written procedures to implement the provisions of 5 CFR 317, Employment in the Senior Executive Service. This policy guidance memorandum and its attachment addresses the Department of Energy's (DOE) competitive staffing process for SES positions and supersedes all guidance previously issued.

The attached document is intended to provide overarching policy guidance and implementing procedures to ensure consistency, transparency and compliance with law and regulations throughout DOE, while allowing organizations the flexibility to tailor the SES competitive recruitment process to best meet their individual circumstances.

**Authorities:** 5 USC 3393; 5 CFR Part 300, 5 CFR Part 317, 5 CFR Part 330

**Coverage:** This policy and operating procedures applies to all SES competitive recruitment actions Department-wide excluding the Office of Inspector General (IG).

Please ensure your immediate staff, hiring managers and program managers are aware of the revised document.

If you have questions, please contact Tonya Mackey, Director, Office of Executive Resources (OER), at [Tonya.Mackey@hq.doe.gov](mailto:Tonya.Mackey@hq.doe.gov) or 202-586-2195. You may also contact Erin Moore, Deputy Director, OER, at [Erin.Moore@hq.doe.gov](mailto:Erin.Moore@hq.doe.gov) or 202-586-9558 or Selina Swales, Executive Staffing Branch Chief, OER, at [Selina.Swales@hq.doe.gov](mailto:Selina.Swales@hq.doe.gov) or 202-586-7975.

Attachment





*Office of Executive Resources  
Office of the Chief Human Capital Officer  
U.S. Department of Energy*

## Senior Executive Service (SES) Competitive Staffing Policy and Operating Procedures

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The Senior Executive Service (SES) Competitive Staffing Policy and Operating Procedures implements the provisions of 5 CFR 317, Employment in the SES. This document applies after the Senior Management Review Board (SMRB) approves the establishment and/or recruitment of an SES position. SES positions may be filled under competitive or non-competitive appointment. Examples of noncompetitive appointments include, but are not limited to the following: reassignment or transfer of current SES appointees, reinstatement of former SES career appointees and the appointment of a graduate of an Office of Personnel Management (OPM)-certified SES Candidate Development Program. This document addresses the Department of Energy's (DOE) competitive staffing process for SES positions and supersedes all guidance previously issued.

**Vacancy Announcements:** In accordance with 5 USC 3393(a), agencies must announce SES vacancies intended to be filled by initial career appointment to at least all civil service employees. In order to consider a broader, more diverse candidate pool, OPM and DOE strongly recommend advertising from outside the Civil Service (i.e., all qualified candidates). In accordance with 5 CFR 317.501(b)(2), vacancy announcements must be published on USAJOBS ([www.usajobs.gov](http://www.usajobs.gov)) and be open for a minimum period of 14 calendar days. All vacancy announcement extension requests must be made in writing to the servicing HR Specialist prior to the closing date of the announcement. The servicing HR Specialist serves as the approval for extension requests and retains the documentation for the merit staffing file. A typical timeframe for an extension request is 14 days; a vacancy announcement should not remain open for more than 60 days.

All SES vacancy announcements must comply with requirements for publishing vacancies as prescribed in 5 CFR 330.104. SES vacancy announcements must assess candidates on the Executive Core Qualifications (ECQs) and mandatory technical qualifications (MTQs). It is recommended that 3 MTQs are used when advertising, but the maximum number of MTQs is 5 per position.

**Recruitment Outreach:** Once published on USAJOBS, vacancy announcements should be given the widest dissemination possible to consider the brightest and most diverse pool possible. Examples include, but are not limited to the following: newspapers, other websites, outside stakeholders, relevant Federal agencies, minority and affinity groups, as well as through professional contacts (letters, emails, etc.) to prospective candidates.

In accordance with 5 CFR 300, subpart D, the services of a nonprofit employment service or commercial recruitment firm (i.e., head hunter) may be used to assist in providing qualified candidates who would not otherwise be available or when qualified candidates might be in short supply. In their search for candidates, the nonprofit and/or commercial recruitment firm must adhere to the requirements outlined in this document, the approved qualification standards of the position and the regulations provided in 5 CFR 300, subpart D. All candidates must apply through the USAJOBS announcements.

**Executive Resources Board (ERB) Rating Panels:** As outlined in the 2011 ERB charter (Attachment A), authority has been delegated to ERB Operational Panels, herein referred to as ERB Rating Panels, to conduct the merit staffing functions. In accordance with 5 CFR 317, subpart E, the ERB Rating Panels rate, rank and review the ECQs and MTQs of candidates for career appointments.

ERB Rating Panels should consist of an odd number (ideally three) of SES members or Political Appointees, the majority of which must be career or equivalent Federal employees (i.e., general officers). Senior Level (SL), Scientific and Professional (ST) members, EJ and EK employees, General Schedule (GS) and contractor employees cannot serve on ERB Rating Panels.

The selecting official designates a Chairperson and approves the panel membership. In assembly of the panel, consideration must be given to the diversity of the members, including race, gender, experience, background, etc. to ensure diversity of thought. When possible and appropriate, the ERB Rating Panel should include members from headquarters and field. The selecting official for the position being filled cannot be a part of the ERB Rating Panel. One member of the ERB Rating Panel must be outside of the Departmental Element for

the position being filled. For the purposes of this document, a Departmental Element is defined as a Program Office, Staff Office, Power Marketing Administration, Field Site, or other DOE Agency, as appropriate. For example, a vacant position in Environmental Management (EM) must include an SES member outside of EM and its field office sites.

**Rating and Ranking:** All applications are reviewed by the servicing HR Specialist to eliminate candidates who provide incomplete packages or who are determined to be “Not Qualified” (ideally within 10 business days). The servicing HR Specialist may include borderline candidates to obtain the expert view of the ERB Rating Panel. Additionally, the servicing HR Specialist may partner with a Subject Matter Expert from the Program Office, Staff Office or Power Market Administration, as appropriate, to assist in determining the basic minimum MTQs of the candidates. The servicing HR Specialist provides technical support and advice to facilitate the ERB Rating Panel process. All application packages must be evaluated using the same criteria.

The ERB Rating Panel should be provided the following items in electronic format (in Hiring Manager, where applicable):

- Application packages of qualified candidates;
- USAJOBS vacancy announcement;
- Position description;
- Crediting plan and rating schedule addressing ECQs and MTQs;
- Qualification assessment sheet for each candidate; and
- Evaluation summary sheet to be used to determine the final ratings of all candidates.

The servicing HR Specialist must highlight if candidates are relatives of DOE employees as defined in Policy Guidance Memorandum #35A, “Procedures for Compliance with Nepotism and Misuse of Position” issued on May 13, 2014. ERB Rating Panel members must recuse themselves if any relative or an individual with whom they have a close personal relationship appears on the candidate list provided by the servicing HR Specialist. In this scenario, an extra panel member may be added or the remaining two panel members can adjudicate the application package of the relative.

The ERB Rating Panel must use the predetermined rating criteria provided by the servicing HR Specialist to evaluate competitive and non-competitive candidates. The ERB Rating Panel must adhere to the instructions provided by the servicing HR Specialist. Veteran’s preference cannot be considered since SES members are excluded by law from such preference.

The ERB Rating Panel must reach a consensus rating of “Superior”, “Very Good”, or “Acceptable” for all competitive and non-competitive candidates. Non-competitive candidates meet the ECQ requirement and therefore are only evaluated on MTQs. A recommended overall earned rating methodology and ERB Rating Panel adjudication process is provided (Attachment B). The ERB Rating Panel members must independently rate the ECQs and MTQs and assign an overall earned rating before convening as a group to reach a consensus (template is provided in Attachment C). The individual ratings and final determination for all candidates are captured on the evaluation summary sheet (template is provided in Attachment D). It must be signed by all ERB Rating Panel members and provided to the servicing HR Specialist.

Competitive and non-competitive candidates are considered independently. All candidates with “Superior” ratings must be referred. If sufficient candidates are not available in this group, the ERB Rating Panel may go to the next successive group (i.e., “Very Good”) and refer those candidates to the selecting official. A sufficient number is typically considered at least three candidates between the competitive and non-competitive groups. The referred group is considered to be best qualified. If less than three candidates are found to be best qualified, the ERB Rating Panel should recommend re-advertising. Additionally, it is strongly recommended

that candidates in the “Acceptable” category are not referred for consideration. To the practicable extent possible, the ERB Rating Panel must complete their review within 5 business days.

The ERB Rating Panel Chairperson is responsible for providing written recommendations summarizing the qualifications of all best qualified candidates referred to the selecting official. To the extent possible, the ERB Rating Panel Chair must complete the memorandum and return it to the servicing Human Resources (HR) Specialist within two business days after convening. The servicing HR Specialist will forward the memorandum to the selecting official along with the certificate of eligibles and their packages.

**Referral Certificate:** The servicing HR Specialist must prepare the referral certificates in Hiring Manager. The referral certificates are based on the ratings recommended by the ERB Rating Panel. Separate referral certificates are issued for competitive and non-competitive candidates. The referral certificates expire 30 days from the date of issuance unless an extension is requested to the servicing HR Specialist before the expiration date.

In accordance with Policy Guidance Memorandum #35A, “Procedures for Compliance with Nepotism and Misuse of Position” issued on May 13, 2014, before finalizing the selection on hiring actions, the selecting official must certify that he/she did not misuse his or her position as a Federal employee to advocate or advance the appointment, employment, promotion or advancement of his/her relative and the selecting official was not approached or influenced by a DOE employee to hire a relative.

**Interviews:** Interviews are required for all advertised SES vacancies. Both competitive and non-competitive candidates on the referral certificates must be interviewed. An additional flexibility to this requirement exists if a position is re-advertised. If a candidate was interviewed during the first announcement and is on the referral certificate again, then the candidate does not have to be re-interviewed as long as previous interview occurred within the last 90 days. While it is strongly recommended to re-interview all candidates found best qualified, the selecting official is not required to do so as long as the duties of the position did not significantly change. This decision must be documented and retained for the merit staffing file.

A structured interview panel should occur to ensure all candidates are afforded equal opportunities to provide information and are assessed accurately and consistently. The interview panel should not include the same members from the ERB Rating Panel. Similar to the ERB Rating Panel, when determining the composition of the interview panel, consideration must be given to the diversity of the members, including race, gender, experience, background, etc. to ensure diversity of thought. When possible, the interview panel should include members from headquarters and field. Additionally, one member of the interview panel must be outside of the Departmental Element. For example, a vacant position in NNSA must include a member from outside of NNSA on the interview panel. Formal voting members of the interview panel must be at the SES or equivalent level.

The selecting official can participate on the interview panel or has the flexibility to convene a separate interview panel to conduct a structured interview. With this flexibility, the separate interview panel provides the top one to three candidates for the selecting official. The selecting official may select directly from this smaller list of candidates or chose to conduct additional interviews. It is recommended that the selecting official conduct interviews from this smaller list before making a selection. These interviews do not have to be structured. Once the selecting official makes a final selection, it is strongly recommended that the Head of the Departmental Element or equivalent interviews the final candidate before submitting for appointment approval. All written comments or notes during the interview(s) must be returned to the Servicing HR Specialist to retain in the merit staffing file.

**Reference Checks:** Reference checks must be conducted for all SES appointments. An additional flexibility to this requirement exists if the proposed candidate is an internal DOE employee. If the candidate is an internal

DOE employee, reference checks only need to be conducted if he/she is outside of the Departmental Element of the position being filled. The results of the reference checks must be provided in writing and submitted as part of the complete package. A minimum of three references must be checked from a diverse group of people (e.g., supervisors, peers, subordinates, etc.) and at least one reference not provided by the candidate. Reference checks must be conducted by at least one senior-level DOE employee. The reference checker must be at an equivalent position or higher than the position being filled (e.g., an SES position requires an SES reference verifier to conduct reference checks).

**Selection and Approvals:** The selecting official recommends a selection and initial starting salary. After obtaining the Departmental Element leadership's concurrence, the selecting official must return all original material to the servicing HR Specialist. The servicing HR Specialist extends a tentative offer to the candidate contingent upon additional approvals.

Selection packages must be forwarded to the Office of Executive Resources (OER) by Monday at 12:00 PM EST of the week prior to the SMRB meeting in order to be reviewed. OER reviews submissions for completeness and adherence to law, regulation and DOE policy. If package submissions do not meet necessary requirements, OER will return them to the submitting office with guidance on how to adjust. Packages that do not have the proper signature approvals will not be forwarded for SMRB consideration. The SMRB evaluates the appointment request, reviews documentation to ensure merit system principles were met and approves the SES appointment in accordance with the 2011 ERB Charter.

**Qualifications Review Board (QRB):** In accordance with 5 CFR 317.502(a), the ECQs of a proposed career appointee must be approved by an OPM QRB before an individual's initial SES career appointment. For all initial career SES appointments, an ECQ package must be submitted to OPM for QRB approval within 90 business days from the closing date of the position's vacancy announcement. Failure to meet this timeline requires the organization to reissue a new vacancy announcement and repeat the competitive selection process. All DOE QRB packages are coordinated through OER for submission to OPM. Final employment offers to the selectee cannot be made until QRB approval is received.

**Inquiries and Appeals:** In accordance with 5 CFR 317.501(e), candidates are entitled to information about the nature of the procedures used in recruiting and selecting candidates for positions. Candidates are also entitled, upon request, to know if they were found qualified for the position. They may have access to qualifications assessments about themselves, except for information that would identify a confidential source. During the recruitment process, the servicing HR Specialist must ensure candidates are notified of their status in the following instances: receipt of application, assessed for qualifications, referred for appointment consideration (or not) and selected for the position (or not). The servicing HR office is responsible for answering candidate inquiries about the merit staffing competition.

There is no right of appeal by the candidate to OPM on staffing actions taken by the ERB, OPM's QRB or the appointing authorities. Other avenues afforded by law or regulation (e.g., the Office of the Special Counsel or the Equal Employment Opportunity Commission) may be appropriate (e.g., prohibited personnel practice allegation).

**Disposition of Materials and Retention of Documentation:** In accordance with 5 CFR 317.501(d), an agency must keep sufficient records as prescribed by OPM to allow reconstruction of the merit staffing process for a period of two years after an initial career appointment. If no appointment occurs, the records must be kept for two years from the closing date of the vacancy announcement. Required documentation to reconstruct the merit staffing file is located in Attachment E.

If you have questions, please contact [Tonya.Mackey@hq.doe.gov](mailto:Tonya.Mackey@hq.doe.gov) or 202-586-2195. You may also contact Erin Moore, Deputy Director, OER, at [Erin.Moore@hq.doe.gov](mailto:Erin.Moore@hq.doe.gov) or 202-586-9558 or Selina Swales, Executive Staffing Branch Chief, OER, at [Selina.Swales@hq.doe.gov](mailto:Selina.Swales@hq.doe.gov) or 202-586-7975.

Attachments

**DEPARTMENT OF ENERGY  
EXECUTIVE RESOURCES BOARD CHARTER**

**I. AUTHORITY**

Each Federal agency is required by 5 U.S.C. 3393(b) to establish one or more Executive Resources Boards (ERB). By statute, the ERB must conduct the merit staffing process for career entry into the Senior Executive Service (SES). Pursuant to 5 CFR 412.104(d), the ERB must approve the development plans for each candidate participating in the agency's SES Candidate Development Program and the Presidential Management Fellows program.

The ERB is responsible for these statutory functions and other functions relating to the management of the Department's executive resources, as delegated by the Secretary. In addition to statutory requirements, the ERB has the following purposes:

- A. Consider and make recommendations to the Secretary/designee regarding executive personnel actions impacting the SES, Senior Level (SL), Scientific and Professional (ST), and Excepted Service EJ and EK positions, and incumbents or candidates for career and time limited appointments and assignments to these positions.
- B. Review current and proposed policies for adequacy (e.g., Diversity, Executive Development, Reduction-in-Force, etc.), ensuring that provisions are consistent with the Department's mission, strategic planning objectives, priorities, and goals established by the Secretary and statute. As appropriate, the ERB initiates new policy for the approval of the Secretary or his designee.
- C. Manage and allocate the Department's executive allocations.

In addition to the DOE ERB, the Department established an ERB for the National Nuclear Security Administration (NNSA) on July 10, 2001 with certain specific authorities as outlined in the NNSA Charter. The Office of the Inspector General has its own ERB, which has final authority for its executive allocations.

**II. POLICY**

Members of the ERB are appointed by the Secretary of Energy/designee.

The ERB consists of the following major components:

- A. The ERB is chaired by the Deputy Secretary or the Associate Deputy Secretary. Members are designated by the Chair. The Board manages all executive allocations (SES, SL, ST, EJ, and EK) within the Department and makes recommendations to the Secretary/designee on the selection of career executive level appointees. The ERB is accountable to the Secretary for execution of delegated functions. The decisions of the ERB are subject to approval of the

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Secretary of Energy, unless the authority has been delegated to the Deputy Secretary or the Associate Deputy Secretary.

- B. Operational panels of the ERB consist of a cadre of nominated and trained Senior Executives and Presidential Appointees that chair the merit staffing panel functions. These panels review the executive qualifications of candidates for career appointments and provide recommendations to the selecting official.
- C. A Senior Management Review Board (SMRB) composed of senior agency officials with broad expertise and knowledge of DOE functions and operations. The Deputy Secretary has appointed the Chief Human Capital Officer as the Chair. The Chief Human Capital Officer, in consultation with the Chair of the ERB, appoints members. Members do not represent their assigned organizations, but serve as liaisons for specific organizational entities to provide a corporate approach to their assigned duties.

The SMRB meets on an ad hoc basis as requested by the Chair of the ERB and provides recommendations to the ERB on executive resources issues, as deemed appropriate by the ERB Chair. These include selection recommendations of participants to the DOE Candidate Development Program and the Presidential Management Fellows and their development plans; review of recruitment plans; and formulation of executive resources recommendations and policy for the Department. The SMRB also ensures that provisions are consistent with the Department's statute, mission, strategic planning objectives, priorities, and goals. The SMRB shall keep the ERB informed of its actions.

- D. The Chair of the ERB may establish additional ad hoc boards to perform a variety of responsibilities to facilitate the successful accomplishment of ERB business.

The Chair may, except as specified elsewhere in this charter, not further delegate his/her authority without the written approval of the Secretary of Energy.

The Human Resources Director, Office of Chief Human Capital Officer serves as executive secretary to the ERB and provides advisory, technical, and administrative support to carry out the responsibilities of the ERB, SMRB, and ad hoc boards.

**III. RESPONSIBILITIES OF THE ERB**

The ERB is composed of the Chair and the appointed members. As delegated by the Secretary of Energy, the Chair is the Appointing Authority for ERB decisions. The major responsibilities of the Chair of the ERB include:

- A. Establishing and selecting heads of departmental elements and Principal Deputy positions by career SES;
- B. Reviewing and/or approving other actions as referred by the SMRB; and



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- C. Addressing other related matters as determined appropriate by the Chair.

The ERB may delegate certain of the above authorities to the SMRB or other designee, as appropriate.

**IV. RESPONSIBILITIES OF OPERATIONAL PANEL ERB MEMBERS**

The Operational Panel members are responsible for the merit staffing functions with the purpose of reviewing the executive qualifications of candidates for career appointments, and providing selection recommendations to the selecting official. Operational Panel members are identified by the senior management of the organization filling a senior position.

**V. RESPONSIBILITIES OF SMRB**

The Deputy Secretary has appointed the Chief Human Capital Officer as the Chair. The Chief Human Capital Officer in consultation with the Chair of the ERB appoints members.

The Chair of the ERB delegates to the SMRB the following functions:

- A. Manages and assigns all SES, limited term SES, ST, SL, EJ, and EK allocations throughout the Department, including NNSA;
- B. Establishes new positions, abolishments, reassignments, and selection into career SES, and limited term SES, ST, SL EJ, and EK positions;
- C. Approves transfers from other agencies or reinstatement into the SES, ST, or SL;
- D. Approves pay setting (e.g., initial, as a result of a reassignment to a position of higher responsibilities, promotions, etc.) for SES, ST, SL, EJ, and EK;
- E. Approves performance based pay adjustments for ST, SL, EJ, and EK;
- F. Approves SES, limited term SES, ST, SL, EJ, and EK recruitment/relocation/retention allowances and dual compensation waivers;
- G. Approves all proposals to grant nonperformance based incentive awards to SES, SL, ST, EJ, and EK, unless the Head of the Departmental Element has written delegation from the SMRB to approve;
- H. Approves details of Departmental and Non-Departmental career employees into SES, SL, ST, EJ, and EK;

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- I. Manages the SES Candidate Development Program and the Presidential Management Intern Program, including approval of each candidate's development plans and conversion to career status;
- J. Approves sabbaticals and long-term training for career SES, SL, and ST;
- K. Gives priority consideration for surplus SES, ST, SL, EJ, or EK members or SES, ST, SL, EJ, or EK members affected by a Reduction-in-Force;
- L. Reviews SES, ST, and SL disciplinary and performance-based actions, e.g., involuntary removal or suspension actions;
- M. Assigns (detail, transfer to International Organizations, etc.) any SES, SL, ST, EJ, or EK outside of the Department;
- N. Approves all Intergovernmental Personnel Assignments consistent with attached criteria;
- O. Approves requests from heads of DOE elements (and other field organizations with personnel authority) for employee assignments – those at GS-15 level and below, or equivalent – to the White House, Executive Office of the President, and Congress;
- P. Authorizes heads of DOE elements (and other field organizations with personnel authority) to request national interest determinations from the Secretary of State when details and transfers to public international organizations will last more than five years;
- Q. Reviews results of Performance Management Review Board (PRB); arbitrate PRB decisions with management; identify areas of concern; and reports the PRB results to the Deputy Secretary; and
- R. Refers any SES, ST, SL, EJ, or EK action it deems necessary to the ERB for review and/or approval.

The SMRB may only delegate the above authorities after approval by the Chair of the ERB.

  
\_\_\_\_\_  
Steven Chu, Secretary of Energy

MAR 31 2011

\_\_\_\_\_  
Date

## Overall Earned Ratings Methodology and ERB Rating Panel Adjudication

### Preliminary Screening and Assessment

The servicing HR Specialist conducts a preliminary screening and assessment of each candidate to determine whether the candidates meet the Executive Core Qualifications (ECQs) and mandatory technical qualifications (MTQs) according to the crediting plan and rating schedule. Any ECQ or MTQ rated **Not Qualified (NQ)** results in an overall earned rating of NQ. Candidates found to be NQ by the servicing HR Specialist are not forwarded to the ERB Rating Panel.

### Competitive Candidates (non-SES members)

ERB Rating Panel members individually evaluate competitive candidates by providing a rating of **Superior (S)**, **Very Good (VG)** or **Acceptable (A)** for each ECQ and MTQ based on the crediting plan.

### Non-competitive Candidates

Non-competitive candidates (i.e., reassignment or transfer of current SES appointees, reinstatement of a former SES career appointees and the appointment of a graduate of an Office of Personnel Management (OPM)-certified SES Candidate Development Program) meet the ECQ requirement and are only evaluated on MTQs. ERB Rating Panel members individually evaluate non-competitive candidates by providing a rating of S, VG or A for each MTQ based on the crediting plan.

### Overall Earned Rating and Adjudication

ERB Rating Panel members must individually consider the ratings assigned for each ECQ and MTQ, as appropriate, and assign an overall earned rating for each candidate as shown:

Overall Earned Rating	Scoring Methodology
<b>Superior (S)</b>	All ECQs and MTQs have a majority of the ratings at the S level (none can be rated A). In the event of an even number (S and VG), the overall earned rating is S.
<b>Very Good (VG)</b>	All ECQs and MTQs have a majority of ratings at the VG level.
<b>Acceptable (A)</b>	All ECQs and MTQs rated have a majority of the ratings at the A level.

After individual scoring, the ERB Rating Panel convenes with the servicing HR Specialist to reconcile the individual scores before the final overall earned ratings are determined. No more than one level of difference can exist between the overall earned ratings for a candidate.

*For example, if a candidate is rated S by Rater 1, VG by Rater 2 and A by Rater 3, the ERB Rating Panel members must discuss the differences in their ratings and adjudicate their scores. Either Rater 1 can lower the score to VG or Rater 3 can increase the score to VG. In this scenario, the final overall earned rating of the candidate is VG.*

The ERB Rating Panel members must unanimously agree on the final overall earned ratings for each candidate and the recommended group of best qualified candidates for referral to the Selecting Official. The individual ratings and final determinations are captured on the signed evaluation summary sheet.



## Senior Executive Service Executive Resource Board (ERB) Rating Panel Candidate Qualifications Assessment Sheet

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**Announcement Number:**

**Title and Series of Position:**

**Organization:**

**Duty Station:**

**Candidate Name:** \_\_\_\_\_

**Ratings:**            **Superior (S)**                      **Very Good (VG)**                      **Acceptable (A)**

### Executive Core Qualifications

Rating	ECQ	Comments/Notes
	Leading Change	
	Leading People	
	Results Driven	
	Business Acumen	
	Building Coalitions	

### Mandatory Technical Qualifications (MTQs)

Rating	MTQs	Comments/Notes
	<b>MTQ 1:</b> Demonstrated leadership and experience in XXXX	
	<b>MTQ 2:</b> Demonstrated leadership and experience in XXXX	
	<b>MTQ 3:</b> Demonstrated leadership and experience in XXXX	

\_\_\_\_\_ **Overall Earned Rating**

**Overall Comments:**

\_\_\_\_\_  
*Signature - Panel Member*

\_\_\_\_\_  
*Date*



## Senior Executive Service Executive Resource Board (ERB) Rating Panel Evaluation Summary Sheet

**Announcement Number:**  
**Title and Series of Position:**  
**Organization:**  
**Duty Station:**

	Candidate Name	Rating Panel Member #1 Chairperson	Rating Panel Member #2	Rating Panel Member #3	Final Earned Rating (S, VG, A)
		Name Title	Name Title	Name Title	
1	Candidate #1	VG	S	VG	VG
2	Candidate #2	S	S	VG	S
3	Candidate #3	A	A	VG	A

\_\_\_\_\_  
*Signature - ERB Rating Panel Member #1 (Chair)*

\_\_\_\_\_  
*Date*

\_\_\_\_\_  
*Signature - ERB Rating Panel Member #2*

\_\_\_\_\_  
*Date*

\_\_\_\_\_  
*Signature - ERB Rating Panel Member #3*

\_\_\_\_\_  
*Date*

\_\_\_\_\_  
*Signature - Servicing HR Specialist*

\_\_\_\_\_  
*Date*



## Senior Executive Service Competitive Staffing Record Retention Requirements

Are the following items retained in DOE's merit staffing files?		Yes	No	N/A
(1)	Vacancy Announcement (including amendments and/or revisions)	<input type="checkbox"/>	<input type="checkbox"/>	
(2)	OPM Control Number for the vacancy announcement in USAJobs	<input type="checkbox"/>	<input type="checkbox"/>	
(3)	List of recruitment sources used	<input type="checkbox"/>	<input type="checkbox"/>	
(4)	ERB/SMRB Recruitment Approval Package (PD, org chart, crediting plan for MTQs, qualification standard, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	
(5)	Written selection criteria (rating schedule/panel instructions)	<input type="checkbox"/>	<input type="checkbox"/>	
(6)	Name, title and grade level of ERB Rating Panel members	<input type="checkbox"/>	<input type="checkbox"/>	
(7)	Hard copy of selectee's application and electronic retention of all applications and other materials received by the agency in response to the vacancy announcement (may be retained in Hiring Manager)	<input type="checkbox"/>	<input type="checkbox"/>	
(8)	Record of ERB Rating Panel deliberations and screening results (e.g., individual rating sheets, summary sheet, best-qualified lists, hand-written notes on candidates, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	
(9)	Written documentation supporting ERB determination of Best Qualified candidates	<input type="checkbox"/>	<input type="checkbox"/>	
(10)	Record of ERB Rating Panel recommendation to selecting official (memo)	<input type="checkbox"/>	<input type="checkbox"/>	
(11)	Record of which candidates were interviewed; record of who declined to be interviewed	<input type="checkbox"/>	<input type="checkbox"/>	
(12)	Name, title and grade level of interviewer(s)	<input type="checkbox"/>	<input type="checkbox"/>	
(13)	Written comments/assessments made during interview deliberations	<input type="checkbox"/>	<input type="checkbox"/>	
(14)	References or qualification inquiries obtained on the candidates	<input type="checkbox"/>	<input type="checkbox"/>	
(15)	ERB/SMRB Appointment Approval Package (certifies merit staffing procedures were followed, appointee meets qualifications of the position, COI, security, pay setting, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	
(16)	Copy of documents submitted to OPM for QRB review	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(17)	Record of QRB certification from OPM	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(18)	Copy of the appointment document (signed and dated)	<input type="checkbox"/>	<input type="checkbox"/>	
(19)	Copy of the four touch points of communication with candidates	<input type="checkbox"/>	<input type="checkbox"/>	
(20)	Copies of any inquiries or complaints about the staffing process and agency finding and response	<input type="checkbox"/>	<input type="checkbox"/>	

The items listed above represent the documents required to reconstruct the executive merit staffing process and must be retained for 2 years (317.501(d)) after the date of appointment a candidate is selected as a result of the merit staffing process. If no appointment is made as a result of the recruitment effort, the records are retained for 2 years from the closing date of the announcement.