



DEPARTMENT OF THE NAVY  
OFFICE OF THE CHIEF OF NAVAL OPERATIONS  
WASHINGTON, DC 20350

IN REPLY REFER TO  
OPNAVINST 12920.2

Op-145  
MARCH 11 1983

OPNAV INSTRUCTION 12920.2

From: Chief of Naval Operations

Subj: Senior Executive Service merit staffing

Ref: (a) SECNAVINST 12920.1A (NOTAL)

Encl: (1) Senior Executive Service Merit Staffing and Selection Plan

1. Purpose. To promulgate the Department of the Navy (DON) Senior Executive Service (SES) Merit Staffing and Selection Plan (enclosure (1)).

2. Background

a. Reference (a) established the DON SES in accordance with the Civil Service Reform Act (CSRA) and assigned responsibilities for management of the system. Reference (a) also established the DON overall policies and procedures for SES positions. Enclosure (1) should be used in conjunction with reference (a) as it provides specific information relating to staffing and selection procedures.

3. Marine Corps. This issuance has been coordinated with the Commandant of the Marine Corps. The Commandant has authorized its transmission to Marine Corps activities.

4. Action. Addressees will apply the guidance contained in enclosure (1) for all selection and merit staffing actions for SES positions.

5. Forms

a. The following forms are available from local GSA stores:

<u>FORM NUMBER</u>	<u>TITLE</u>	<u>STOCK NUMBER</u>
SF 50	Notification of Personnel Action	7540-01-109-8812 (5 part) 7540-01-112-1950 (6 part)

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SF 171	Personal Qualifications Statement	7540-00-935-7150
SF 172	Ammendment to Personal Qualifications Statement	7540-00-142-8756
SF 278	Executive Personnel Financial Disclosure Report	7540-01-070-8444

b. Executive Personnel Transaction Form 1390 is available from:

Office of Personnel Management  
Office Service Division  
Forms and Publications Supply Unit, Room D453  
1900 "E" Street, NW  
Washington, DC 20415



THOMAS R. MILLER  
Assistant Deputy Chief of Naval  
Operations (Civilian Personnel/  
Equal Employment Opportunity)

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DEPARTMENT OF THE NAVY  
SENIOR EXECUTIVE SERVICE  
MERIT STAFFING AND SELECTION PLAN

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1. INTRODUCTION. The Civil Service Reform Act requires that each agency establish Executive Resources Boards (ERBs) to conduct the merit staffing process for career appointees in the Senior Executive Service (SES). Reference (a) provides that within the DON, the DON Civilian Executive Resources Board (DONCERB) will be responsible for setting the overall policy and monitoring the Department's program, and subordinate ERBs will be established at each SES claimant level, with responsibility for the oversight of the merit staffing process for executive personnel in the claimancy. The claimant ERBs will review and approve recruitment plans and qualification standards (unless this authority has been redelegated by the claimant in which case the ERB will continue their monitoring role); will provide a representative to each Ad Hoc ERB (AERB); and directly or through the AERBs provide written recommendations to selecting officials and approve the technical/non-managerial qualifications of proposed selectees.

The ERBs will be appointed by the Secretary of the Navy and will be composed of top line management officials, including SES members. Claimants will nominate individuals to serve on their ERBs and the Secretary of the Navy will name the chairperson and the membership of each board. An Executive Secretary should be named by the chairperson and the Deputy Equal Employment Opportunity Officer will be given the role of advisor to the claimant ERB. In addition, the chairperson must assure that a personnel expert is available to the ERB, either as a board member, executive secretary or advisor, as appropriate. Changes in the designation of the chairperson must be approved by the Secretary of the Navy. Substitutions for individual members may be made subject to advance notification to the Executive Secretary of the DONCERB (Attn: OP-145).

The AERBs will be appointed on an individual basis to complete the rating and ranking process for each recruiting action by the appropriate claimant ERB or line management officials specifically delegated this authority by the claimant. The AERB will consist of a minimum of three line management officials (at least one member will be a career SES member and all must occupy positions equivalent to the SES), with the claimant ERB providing an ERB member and with representation from the appropriate functional area and from the activity where the vacancy exists. To the maximum extent feasible, women and minorities should be among those serving on AERBs. The chairperson of the AERB will be responsible for ensuring that the process is consistent with EEO policies and regulations.

Enclosure (1)

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The activity Director of Civilian Personnel and Deputy EEO Officer (or their designees) should serve as technical advisors to the AERBs.

Reference (a) states that SES positions may be filled through a number of different methods, including internal placement processes or merit searches, both within and outside the Federal sector. In determining the appropriate method, consideration should be given to such factors as identifying a sufficient number of highly qualified candidates, reaching minorities and women where underrepresentation exists in consonance with the Federal Equal Opportunity Recruitment Program, timeliness of staffing, selective placement of SES members to promote career enhancing opportunities, ensuring an appropriate flow of talent from the private sector and other such factors which will promote the effective accomplishment of the DON's mission or programs. Such processes should ensure that a wide range of applicants are considered for SES vacancies and that candidates may enter based on either demonstrated executive experience, successful participation in an executive development program or the possession of special or unique qualities which indicate a likelihood of executive success. Recruitment actions must be conducted in accordance with merit staffing principles. Some form of merit competition may also be required for internal placement actions at the option of the employing organization, so long as it is consistent with the guidelines outlined herein.

2. TYPES OF POSITIONS. There are two types of positions in SES:

a. General Position. SES position that may be filled by any type of authorized appointment including career, noncareer, limited term or limited emergency appointment.

b. Career Reserved Position. SES position that may only be filled by a career appointee and for which it is justifiable to so restrict appointment in order to ensure impartiality, or the public's confidence in the impartiality, of the Government.

3. TYPES OF APPOINTMENTS. There are four kinds of appointments in SES:

a. Career Appointee: An individual in an SES position whose appointment to the position or previous appointment to another SES position was based on approval by the Office of Personnel Management (OPM) Qualifications Review Board (QRB) of the executive qualifications of such individual.

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b. Limited Term Appointee: An individual appointed under a non-renewable appointment for a term of three years or less to an SES position the duties of which will expire at the end of such term.

c. Limited Emergency Appointee: An individual appointed under a non-renewable appointment, not to exceed 18 months, to an SES position established to meet a bona fide, unanticipated, urgent need.

d. Noncareer Appointee: An individual in a SES position who is not a career appointee, a limited appointee, or a limited emergency appointee.

4. PROBATIONARY PERIODS. Each new SES career member is required to serve a one-year probationary period which will commence with the effective date of initial appointment to SES. Employees who were converted to SES on 13 July 1979 were not required to serve a probationary period. No probationary period is required for limited term, limited emergency and noncareer appointees.

5. DETAILS. Details may be authorized at the local level to SES positions for short periods to meet emergency needs and during reorganizations in accordance with the following guidelines:

a. Such details should be limited to the shortest practicable time but in no case exceed one year.

b. Details which exceed 180 days must be to clearly defined duties and must be specifically justified and forwarded through the chain of command to the SES claimant for approval.

c. Official reassignments of SES members to other SES positions should be made in lieu of details whenever possible.

d. The duties of a vacant position should be restructured temporarily, whenever possible, in order to avoid a detail of a non-SES employee to an SES position.

6. REASSIGNMENTS. Career SES members may be reassigned to any DON SES positions for which qualified. Noncareer members may be reassigned only to other General positions. Involuntary reassignments of career members require at least 15-day advance

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notice to the employee. Either the acceptance of a voluntary reassignment or receipt of the 15-day advance notice for an involuntary reassignment must be documented.

Directed reassignment beyond the member's activity must be approved by the head of the organizational unit in the chain of command which exercises control over both activities.

Involuntary reassignments of career SES members may not be made effective within 120 days after the appointment of a Secretary of the Navy, or the appointment of a new immediate supervisor who is a noncareer appointee, unless the reassignment is based on the member receiving an unsatisfactory performance rating, or unless the reassignment is based on any disciplinary action initiated before an appointment referred to above.

7. TRANSFERS. Career SES members from other government agencies may transfer to any SES position in DON for which they are qualified. Noncareer members may transfer only to General positions. SES members may not be transferred involuntarily.

8. REINSTATEMENTS. Executives who have left the SES after having successfully completed the one-year probationary period are eligible for reinstatement to any position for which qualified in the SES. Individuals can be reinstated unless they left the SES for misconduct, neglect of duty or malfeasance or less than fully successful executive performance. Career employees initially converted to the SES without the requirement of serving a probationary period are also eligible for reinstatement.

An SES career member who is appointed by the President to any civil service position outside the SES and who leaves the position for reasons other than misconduct or neglect of duty is also entitled to placement in the SES if that person applies to OPM within ninety (90) days after separation from the Presidential appointment.

Reinstatement eligibility acquired in the competitive service is limited to the competitive service and is not transferable to the SES. Similarly, persons in, or who were in, the excepted service cannot be reinstated to the SES based on their employment in the excepted service. Therefore, there is no reinstatement eligibility for current or former GS-16 through GS-18 employees (including those who elected not to convert to SES).

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Persons who do not have reinstatement eligibility acquired through employment in or initial conversion to the SES must compete for career SES appointments through the merit staffing process.

SES annuitants can be reemployed in the SES with notification to the SES claimant and given career appointments. The appointment would be restricted in both pay and tenure as are annuitants at grades below SES.

9. PRECERTIFIED CANDIDATES. Individuals whose qualifications have been precertified by OPM QRBS may also be selected for SES positions without further competition. Such individuals may have completed SES candidate development programs or have been selected under a one-time precertification program announced by OPM, DON or another agency. Certifications received under such programs are valid for a five-year period.

10. RECRUITMENT FOR NONCAREER, LIMITED TERM AND LIMITED EMERGENCY APPOINTEES

a. Noncareer appointments. Noncareer appointments may be made to General positions only. The number of noncareer SES appointments will be controlled by the Under Secretary of the Navy. Qualification standards for positions filled by noncareer appointees will be developed on the basis of analyses which identify the mandatory and desirable factors and the managerial, executive and professional/technical qualifications necessary for successful job performance. Requirements relating to competition for career appointments do not apply. Recruiting may be concentrated in areas where qualified candidates can reasonably be expected to be located and announcements may be issued as considered necessary. Noncareer appointments and any noncompetitive movement within the SES of such appointees are subject to the prior approval of the Assistant to the Secretary of Defense; requests will be submitted via the Assistant Secretary of the Navy (Manpower and Reserve Affairs).

b. Limited Term and Limited Emergency Appointments. The use of these appointing authorities is controlled. They are limited to General positions, and the number which can be effected is restricted by law. Approval must be obtained from OPM prior to their use. Requests for use of such appointments should be submitted through the chain of command to the

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Executive Secretary of the DONCERB (Attn: OP-145) for action. The development of a qualification standard is required and targeted recruitment, as necessary, is authorized. The appointment of an AERB is optional. However, if an AERB is not used, the appointing officer must certify in writing that the selectee meets the qualification requirements of the position. Such appointments do not confer SES status. However, an employee who received a limited appointment from a permanent civil service position of career or equivalent tenure outside the SES and whose limited appointment is terminated for reasons other than misconduct, neglect of duty, or malfeasance shall be entitled to be placed in his/her former position or a position of like status, tenure, and grade.

11. RECRUITMENT FOR CAREER APPOINTMENTS. A recruitment plan for each position (or group of positions) must be prepared by the activity and approved by the ERB (or a line management official delegated that authority) before recruitment action is initiated. An SES recruitment plan would include, as a minimum, the identification of the sources and methods of recruitment, including advertisements; the qualification standard; the evaluation method; any supplemental questionnaires or vouchers to be used by the candidates or supervisors; and the proposed membership of the AERB. These components of the recruitment plan are described more fully below:

a. Sources of Recruitment. The recruitment plan must state the sources of recruitment for the vacancy. Recruitment should be reasonably extensive and systematic and, for every vacancy, include a positive effort to locate qualified minorities and women. This should include specific extensive search processes appropriate to the position and the availability of candidates.

The minimum area of consideration will be government-wide since the CSRA requires that the search for candidates include all groups of qualified individuals within the civil service (civil service is defined to include the executive, judicial and legislative branches). Therefore, recruitment may not be limited to persons within the Department of the Navy nor to those with competitive status. Activities are encouraged to broaden their searches where practical and appropriate to include all groups of qualified individuals whether or not within the civil service. Activities may use "targeted" recruitment in support of the Federal Equal Opportunity Recruitment Program, or to fill a specialized position when sufficient groups of qualified candidates can reasonably be

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expected to be located in one or more specialized recruitment target areas.

b. Methods of Recruitment. Under this heading, the recruitment plan should identify which methods will be used to advertise the vacancy.

(1) A local vacancy announcement must be prepared for all actions involving competitive recruitment. The announcement should normally be open for a minimum of 15 days, not counting necessary time for normal mailing and posting delays. Thirty days is recommended. Any exception to this minimum time must be approved by the official authorized to approve recruitment plans and the documentation of the approval must be retained. The content of this vacancy announcement is described in Attachment 1.

(2) The OPM vacancy listing must be used in order to meet all the legal requirements for either an inside or an outside search. The Naval Civilian Personnel Command (NCPC) vacancy listing should also be used for every action, time constraints permitting. These listings provide extensive coverage including numerous minority and women's organizations. The OPM listing also covers all U.S. Employment Offices as well as the legislative and judicial branches of Government. Distribution procedures for vacancy listings are described in Attachment 2.

(3) When the scope of recruitment includes sources outside the Federal service, activities may use paid advertisement and letters to institutions, companies, and individuals.

c. Qualifications Standard. A qualifications standard must be established for each SES position or groups of similar SES positions. This standard should be developed at the time a new position is established or when an existing position is substantially altered. This standard should normally be developed by the supervisor of the position and other management officials, with professional assistance from the personnel staff on the technical aspects of preparing a standard. Each qualifications standard must be approved by the ERB and applied to all candidates equally and impartially. The standard should be practical in character and, as far as possible, allow for impartial assessment of the relative capacity and fitness of candidates for the position. The standard should be based on a job analysis that identifies:

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(1) The mandatory skills, knowledge, and abilities required to do the job.

(2) The desirable skills, knowledge, and abilities.

(3) The breadth and depth of executive qualifications in terms of the managerial competencies set forth in Attachment 3. The managerial/executive qualifications will be used by OPM QRBS as a basis for certification of candidates for initial career SES appointment.

The qualification standards should be specific enough so that the AERB is able to identify qualified candidates and also make qualitative distinctions among them in referring candidates to selecting officials. However, when an outside search is undertaken (i.e., when search is extended beyond the civil service), the standard should not be so restrictive that it has the practical effect of limiting the effort to a specific department, agency or sector. Standards must be broad enough to ensure that a wide range of applicants are considered, including candidates from the private sector.

Each qualification criterion included in the standard is to be job related. (See the Uniform Guidelines on Employee Selection Procedures). A minimum length of experience should not be imposed as an essential element for any position. The standard should not include either directly or indirectly any criterion prohibited by law or regulation, e.g., age, sex, race, color, religion, national origin, marital status, political affiliation, or nondisqualifying handicap.

In keeping with reference (a), qualifications standards must not be so restrictive as to limit entry into SES to those with demonstrated experience but should allow for certification on the basis of the possession of special or unique qualities which are indicative of the likelihood of executive success.

A minimum educational requirement beyond that authorized by Chapter 933 of the Federal Personnel Manual for similar positions at GS-15 and below should not be applied.

d. Evaluation Method. The recruitment plan must also include an explanation of the method that will be used to evaluate and rank candidates.

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e. Supplemental Questionnaires or Vouchers. If supplemental questionnaires or vouchers are going to be used, copies should be provided in the recruitment plan. Their use is recommended in order to help substantiate the selectee's managerial qualifications when reviewed by the QRB.

f. Ad Hoc Executive Resources Board. The recruitment plan must also include a list of the nominees for the AERB.

12. RATING AND SELECTION PROCESS. All procedures used for rating, ranking, and selections for SES vacancies must be available and open to review by anyone requesting this information of the activity. The procedures must provide for fair and open competition and must meet the requirements of applicable law and regulations, including the Uniform Guidelines on Employee Selection Procedures. Veterans preference is not a factor in selection for SES positions.

The first step in the rating and ranking process will be to determine which candidates meet the minimum qualifications (the mandatory technical/professional and managerial/executive qualifications defined in the standard). The next step is a comparison of the qualified candidates against the total criteria. This process should provide for adequate differentiation among candidates on the basis of the factors in the qualifications standard of the position. Use of numerical ranking and rating is discouraged as this tends to introduce a pseudoprecision not normally justified by the SES type of position requirements.

It is recommended that AERBs group qualified candidates into broad categories (e.g., highly qualified, minimally qualified). Where very large numbers of qualified candidates are grouped together, the AERB should consider subdividing the group, referring only those in the top category to the selecting official. Candidate grouping should result in a reasonable number of applicants being referred to the selecting official.

Interviews may be conducted by the AERB and/or the selecting official.

Once the AERB has determined which candidates will be referred to the selecting official, the Board will prepare written recommendations on all candidates referred. These written recommendations may be in the form of a brief rationale as to why the candidate is considered to be one of the best qualified or any other appropriate form.

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For ready reference, the required steps in the recruitment, evaluation and selection process are provided in Attachment 4, and the documentation required for each selection package is shown in Attachment 5. Projected milestones in filling SES positions are also provided for information and assistance to activities and claimants as Attachment 6.

13. PRIORITY REFERRALS. The Omnibus Budget Reconciliation Act of 1981 gave OPM a major role in placing SES members affected by a reduction in force (RIF). The initial responsibility for placement rests with the employing agency. Failing that, OPM may refer SES members for priority placement within other agencies having appropriate vacancies. No SES position against which a priority referral has been made may be filled except by internal reassignment of another SES member until the candidate has been placed or until an objection is filed by the agency head (i.e., the Secretary of the Navy, who may not redelegate this authority) on the basis of the candidate's failure to meet the technical qualifications standard established for the position. OPM may intervene in the staffing process by making a priority referral at any time prior to QRB approval of a candidate's managerial qualifications.

14. APPLICANT INQUIRIES. Inquiries from SES applicants and other individuals and groups will be processed in accordance with procedures established by the SES claimants. These procedures will take into account the impact of the Freedom of Information and Privacy Acts. Activities will have to make available to all interested parties, on request, full information regarding the nature of the procedures used in recruiting and selecting candidates for any particular position. Applicants are also entitled to know whether they were eligible for the position and whether or not they were referred to the selecting official for consideration for appointment. They may have access to qualification questionnaires or reports of qualifications inquiries about themselves.

15. APPEALS. There is no appeal by applicants to OPM against actions taken by the ERBs or by appointing officials. Other appellate avenues afforded by law or regulation are available, e.g., the Special Counsel, the Merit Systems Protection Board, or the Equal Employment Opportunity Commission.

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16. DOCUMENTATION REQUIREMENTS. If a qualification standard is changed during the life of the position, both the old and new standards should be retained by the activity. The records listed below should also be kept by the activity for two years after a competitive vacancy is filled or until an OPM evaluation is completed, (whichever occurs first), providing that the time limit for grievances has elapsed. If a grievance is in process, records must be retained for 60 days after final determination. Cases involving discrimination complaints must be retained for four years after final disposition by DCN.

a. A copy or record of all announcements and any publicity (local announcement, paid advertisement, number and date of OPM and NCPC listing, etc.).

b. A list of organizations and addresses to which the local vacancy announcement was distributed and distribution rationale. (If a standard distribution list is used, however, reference to the appropriate list is sufficient.)

c. Justification for exception to the minimum (15-day) announcement requirement.

d. Documentation of the rating, ranking, evaluation, and selection procedures applied.

e. The membership of the AERB.

f. The written recommendations concerning each candidate made by the AERB to the appointing official (including a copy of the Personal Qualifications Statement, SF-171), and any supplemental questionnaires and appraisals upon which the recommendation is based).

g. Any complaints or appeals to the claimant ERB and any ERB findings.

h. To the maximum extent possible, information on the numbers of minorities and women considered.

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### LOCAL VACANCY ANNOUNCEMENTS

Vacancy announcements for SES positions must be labeled as such and not as general Merit Promotion Announcements. Each announcement must show clearly that the vacancy is open to all qualified candidates in the Federal service including the executive, legislative and judicial branches, those with or without competitive service. There is no requirement for one year of experience at the GS-15 level, as time-in-grade requirements do not apply to the SES.

Announcements should contain the following information:

- a. Position title and occupational series.
- b. General information about SES Pay Levels (ES-1 through ES-6), indicating the current ES salary range, and any current pay cap.
- c. Location of position.
- d. Description of duties.
- e. Qualifications requirements and evaluation method.
- f. EEO statement.
- g. Address to which application should be sent.
- h. How to request additional information.
- i. Opening and closing dates.
- j. A statement that persons newly selected for appointment to an SES position must have their managerial qualifications approved by the Office of Personnel Management and that they will be required to serve a one-year probationary period.
- k. Statement that veterans preference does not apply in SES.
- l. Statement that career appointees are also eligible for performance awards plus special rank designations, with corresponding payment, in addition to base salary.

Attachment 1 to  
Enclosure (1)

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DISTRIBUTION PROCEDURES FOR SES VACANCY LISTING

1. Send information for advertisement in NCPC CONUS VACANCY LISTING (follow format in latest listing and see CMLL 335-1 for due dates for publication). This listing is distributed to a number of women and minority groups. It is extremely important that these listings be limited to 35 words; otherwise, they will be edited. The posted announcement dates must be a minimum of 15 calendar days.

Send to: Naval Civilian Personnel Command  
 ATTN: Code 03  
 801 North Randolph Street  
 Arlington, Virginia 22203

2. In the format shown below, send vacancy information to the following designated OPM SES agency officer:

Mr. Thomas H. Meyer  
 National Security and International Affairs Branch  
 Office of Executive Personnel  
 Office of Personnel Management  
 1900 E Street, N.W.  
 Washington, DC 20415

Position Title and Location	Announcement No. Closing Date	For Additional Info. call	Area of consideration	Summary of Duties (25 words or less)
Agency: Department of the Navy			All Qualified Persons (or) All Qualified Federal Employees Only	

The above information must be delivered by 11:00 a.m. on the Wednesday preceding the publication date in order to allow for typing and printing and must be open for a minimum of 15 days from the date of publication on the list.

Attachment 2 to  
 Enclosure (1)

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3. Send one copy of the local vacancy announcement to the following address:

DOD Centralized Referral Activity  
1507 Wilmington Pike  
Dayton, Ohio 45444

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**GUIDELINES FOR CERTIFICATION OF  
MANAGERIAL/EXECUTIVE QUALIFICATIONS**

Executive qualifications are defined in terms of competence to assume leadership responsibilities in the following activity areas broadly applicable to executive positions throughout the Senior Executive Service:

1. Integration of Internal and External Program/Policy Issues.
2. Organizational Representation and Liaison.
3. Direction and Guidance of Program, Projects, or Policy Development.
4. Acquisition and Administration of Financial and Material Resources.
5. Utilization of Human Resources.
6. Review of Implementation and Results.

The substance of these activity areas is set forth below. The OPM QRB certification process will focus upon a review of documentation of a candidate's scope and quality of work experiences, accomplishments, and/or potential relevant to exercising executive leadership through managing and/or participating in the foregoing activity areas. Activities are encouraged to incorporate these activity areas into their position qualification standards and into selection guides for SES positions. In this way, activity selecting officials will review the same executive qualifications information that QRBS consider.

Executive positions differ in the nature and degree of their demands for executive competencies. Some positions, for instance, may make high demands in regard to organization representation and have relatively little need for skill in resource acquisition; other positions could have the reverse emphasis. SES members need not be qualified to undertake equally well every SES position, and, therefore, need not be optimally qualified in every activity area. It is the responsibility of the employing activity to assure that an

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individual meets the requisite qualifications for appointment or assignment to a specific SES position. The QRB, on the other hand, must assure itself that a candidate for entry into SES possesses sufficient breadth and depth of executive qualifications to be able to assume a variety of SES assignments. An individual, for example, with qualifications (experience, training or potential) covering only a few executive activity areas would not meet SES certification requirements.

Activity Areas: The following descriptions provide information on the scope and content of the six activity areas listed above that will provide the focus for the QRB review of executive qualifications. The listing of elements for each activity area is not meant to be exhaustive, but illustrative; nor is it expected that every SES position will require a subject matter expert in all these areas. What is required in each of these areas is that the individual candidate's record--experience, education, accomplishments, and/or potential--be indicative of competence to provide leadership for the accomplishment of these activities.

Further information on developing the content of the six activity areas is contained in the OPM publication "A Guide to Executive Qualifications (XD-14)."

1. Integration of Internal and External Program/Policy Issues.

This area involves seeing that key national and agency-wide goals, priorities, values, and other issues are taken into account in carrying out the responsibilities of the immediate work unit, including:

- Responsiveness to the general public and clientele groups.
- Keeping up-to-date with relevant social, political, economic and technological developments.
- Coordinating with other parts of the agencies as relevant.
- Understanding the role of political leadership in the Administration and Congress.

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## 2. Organizational Representation and Liaison.

This area covers functions related to establishing and maintaining relationships with key individuals and groups outside the immediate work unit and serving as a spokesperson for one's unit and organization. Types of actions generally required to carry out these functions include:

- Briefings, speeches, congressional testimony, inter-unit staff meetings, professional society presentations, question-and-answer sessions, etc., involving information giving and receiving, recommendations, persuasion, selling, negotiation, program defense.

## 3. Direction and Guidance of Programs, Projects, or Policy Development.

This area involves activities related to establishing goals and the structure and processes necessary to carry them out.

- Long-term and short-term planning; needs, forecasts, objectives, priorities, feasibility, options.

- Productivity and other effectiveness-efficiency standards.

- Information gathering and analysis.

- Research and development.

- Work organization structure and operational procedures.

- Scheduling and work assignment.

## 4. Acquisition and Administration of Financial and Material Resources.

This area concerns procedures and activities related to obtaining and allocating the financial and material resources necessary to support program or policy implementation. These include:

- Managing the budget process: preparing, justifying, operating through organizational and congressional procedures, administering.

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- Overseeing procurement/contracting procedures and processes.

- Directing/coordinating logistical operations.

#### 5. Utilization of Human Resources

This area involves processes and activities for seeing that people are appropriately employed and dealt with fairly and equitably. These include:

- Acquiring staff through appropriate staffing processes: work force planning, recruitment and selecting, including affirmative action and EEO.

- Assessment of individual capabilities and needs.

- Delegation of work.

- Provision for career development opportunities.

- Performance standards and appraisal.

#### 6. Review of Implementation and Results.

This area involves activities and procedures for seeing that plans are being implemented and/or adjusted as necessary and that the appropriate results are being achieved. These include:

- Periodic monitoring and review.

- Program evaluation.

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REQUIRED STEPS IN RECRUITMENT, EVALUATION AND SELECTION

New Appointment

1. Notification of employee action causing vacancy (i.e., resignation, retirement, etc.) to the Executive Secretary of the DONCERB (Attn: OP-145) and SES claimant.
2. Approval of SES space from the SES claimant.
3. Determination of method of filling position (placement vs. recruitment).
4. Preparation of Recruitment Plan including Qualification Standard.
5. Approval of Recruitment Plan and Qualification Standard by SES Claimant ERB (or other delegated authority) w/copy to Executive Secretary of the DONCERB (Attn: OP-145) for post audit.
6. Announcement of vacancy.
7. Rating and ranking of candidates by AERB.
8. Recommendations (on candidates) by AERB to selection official.
9. Selection and forwarding of selection package to SES Claimant via chain of command (if required) w/advance copy to the Executive Secretary of the DONCERB (Attn: OP-145).
10. SES Claimant review (if required) and referral of selection package to the Executive Secretary of the DONCERB (Attn: OP-145).
11. Processing of selection package to OPM.
12. ASN approval of salary recommendation (if required)/ concurrent w/Step 11 above.
13. Approval of Managerial Qualifications by OPM QRB.
14. Appointment action effected by activity upon notification of OPM QRB approval.

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15. Submission of copy of SF-50 to the Executive Secretary of the DONCERB (Attn: OP-145).

16. SES member files SF-278 (Rev. 4-80), Financial Disclosure Report, within 30 days after appointment.

Note: Selection package must be submitted to OPM within nine months of closing date of vacancy announcement or position must be readvertised.

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Reassignment\*

1. Notification of employee action causing vacancy to the Executive Secretary of the DONCERB (Attn: OP-145) and SES claimant.
2. Approval of SES space by SES Claimant (or other delegated authority).
3. Determination of method of filling position (placement vs. recruitment).
4. Preparation of Qualification Standard by activity.
5. Approval of Qualification Standard by SES Claimant ERB (or other delegated authority).
6. Review of candidates for reassignment by appropriate management official(s).
7. Selection by selecting official.
8. Approval of technical qualifications of selectee by Claimant ERB (or other delegated authority), and, if involuntary action:
  - a. Approval of the head of the organizational unit in the chain of command which exercises control over both activities if reassignment is beyond member's activity.
  - b. Issuance of 15-day advance notice.
9. Notification to the Executive Secretary of the DONCERB (Attn: OP-145) of action by SES claimant.
10. Notification to OPM by OP-145 for the Executive Secretary of the DONCERB.

\* Also includes transfer and reinstatement of current or former SES members and selections of precertified candidates (except for steps relating to involuntary actions, which are not applicable).

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SELECTION DOCUMENTATION REQUIREMENTS

Selection of Non-SES members

Once a selection has been made, the following documentation will be forwarded to the Executive Secretary of the DONCERB (Attn: OP-145) via the SES claimant:

1. Executive Personnel Transaction Form 1390 (1 copy), unsigned.
2. Qualifications Standard (4\* copies).
3. Personnel Qualifications Statement (Standard Form 171) (4 copies).
4. Managerial Qualification Justification (4 copies) - A brief written evaluation of the selectee's background in support of his/her executive qualifications. This evaluation should be based on one or more of the following criteria as they relate to the executive qualification requirements of the position:

Criterion (a) - The individual's demonstrated executive experience.

Criterion (b) - The individual's successful participation in a career executive development program which is approved by OPM.

Criterion (c) - The individual's special or unique qualities which indicate a likelihood of executive success.

When submitting selections under criterion (a) or (c) above, each of the six executive activity areas outlined in attachment 3 should be addressed in detail in narrative form. For those nominated on the basis of criterion (c), the special or unique qualifications should also be addressed and an IDP is required. For those nominated on the basis of criterion (a), an IDP is optional.

5. Narrative appraisals from two persons able to evaluate past executive success in the six activity areas (4 copies). Not required when requesting certification on basis of criterion (b).

Note: Check-off appraisal forms will not suffice.

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6. ES salary level justification if salary exceeds ES-2 (1 copy).

7. Additional documentation as required by SES claimant, including additional copy of items 1 through 6 if required.

\* When four copies are indicated, this includes the three copies required by OPM.

Selection of Current or Former SES Member

The following documents (1 copy each) constitute the selection package for forwarding to the Executive Secretary of the DONCERB (Attn: OP-145) via SES claimant:

1. Executive Personnel Transaction Form 1390.
2. Qualification Standard.
3. SF-171 or SF-172
4. Documentation of approval of selectee's technical qualifications by claimant ERB (or other delegated authority).
5. Additional documentation required by SES claimant.

Selection of Precertified Candidate

The documentation requirements are the same as those for current or former SES members, shown above.

Reassignments (non-competitive)

The documentation requirements include those listed for current or former SES members. An additional requirement is documentation of acceptance of a voluntary reassignment or documentation of 15-day advance notification of involuntary reassignment.

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## RECOMMENDED MILESTONES FOR SES RECRUITMENT

	(Days) <u>Target Time</u>	(Days) <u>Suggested Ranges</u>
Phase 1. <u>Preparation of Recruitment Plan</u>  <u>Scope:</u> From the time of the discovery of an impending vacancy or from the time a new space is approved until the completion of the recruitment plan by the local activity.	15	5-30
Phase 2. <u>Approval of Recruitment Plan</u>  <u>Scope:</u> From the time the recruitment plan leaves the field activity until it is approved.	+7	+5-10
Phase 3. <u>Preparation of and Distribution of Announcement</u>  <u>Scope:</u> From the time the recruitment plan is approved to the date the announcement opens.	+21	+7-30
Phase 4. <u>Period of Announcement</u>  <u>Scope:</u> From the opening to the closing date of the announcement.	+30	+15-40
Phase 5. <u>Screening, Ranking, Selection and Selection Package Preparation</u>  <u>Scope:</u> From the closing date of the announcement until the date the selection package leaves the local activity.	+60	+40-90
*Phase 6. <u>SES Claimant Review of Selection Package</u>  <u>Scope:</u> From the time the selection package leaves the local activity until it arrives at the Executive Secretary of the DONCERB (OP-145) office.	(10)*	(5-20)*

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\*Phase 7. Executive Secretary of the DONCERB +10\* +5-20\*  
OP-145) Action on Selection Case

Scope: From the time the selection package arrives in the office of the Executive Secretary of the DONCERB (OP-145) until the final package is signed out to OPM.

Phase 8. Qualification Review Board (QRB) +10 +5-15  
Approval of Managerial Qualifications

Scope: From the time the selection package is signed by DON official until it is approved by the QRB.

Total Lapsed Time 5 mos. 3-8 mos.  
(Target) (Range)

Note: The selection package must be submitted to OPM within nine months of the closing date of the vacancy announcement or the position must be readvertised.

\* If SES claimant review of the selection package is required, phases 6 and 7 will be accomplished concurrently.