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**Iowa Department of Administrative Services**

**Human Resources Enterprise**

Competency Guide

**2006**



**Acknowledgement**

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**What are Competencies?**

On the Human Resource Management Roadmap (see page 7 of the State of Iowa Workforce Planning Guide, February 2006) there is a bar that crosses all four phases of human resource management. That section indicates that competencies are an integral part of the entire employment cycle. Competencies describe job requirements, which means they lay out the expectations for the job incumbent as well as the supervisor as they relate to planning for the job, recruiting and filling the job, developing the incumbent’s skills, assessing the incumbent’s performance, and finally, determining how those same competencies relate, if at all, to refilling the position when it becomes vacant in the future.

Competencies are described more fully in Chapter 4 of the *Applicant Screening Manual* found at <http://das.hre.iowa.gov/management_services/SupvSvcsFrameset.htm>. A general set of competencies that have been developed for the use of agencies in Iowa state government can be found in the State of Iowa Competency Library at <http://das.hre.iowa.gov/pdfs/ClassPay/job_competencies.pdf>. These are based on four occupational study databases developed by the U.S. Office of Personnel Management. Collectively, these databases are referred to as HR Manager. Iowa state managers may access these databases through their management liaison or personnel officer.

For our purposes in getting started, competencies are defined as:

***Observable and measurable knowledge, abilities, skills and behaviors that must be applied to achieve results aligned with the goals of the organization.***

When describing a job, we typically begin by listing examples of the kind of work it performs, or duties and responsibilities assigned to it. We tend to begin this way because we focus on the more tangible elements of the job. From the standpoint that people tend to remember and comprehend the more concrete concepts first, this is a good approach. However, job tasks tend to differentiate one type or kind of work from another. They tend to set us apart as distinct parts of a process. Job tasks also change and evolve over time, one reason why position classification is a continuing process.

Competencies, on the other hand, are more intangible and abstract. They are more difficult to define precisely. They are also more generic in that they are applicable to a wide variety of situations. And they tend to change less frequently than job tasks. Whereas job tasks are the apples and oranges approach to describing jobs, competencies are more the universal language. Which is why they play such an underlying role in human resource management, because they deal with commonalities and thus the fluidity of work situations.

As the definition above indicates, competencies encompass knowledges, abilities, skills and behaviors, the things a person must either bring to the job or learn on the job to perform the job successfully.

**What does a competency look like?**

Generally, a competency will be a one, two or a several-word descriptor followed by a definition. Some examples include:

**Reading** – Understands and interprets written material, including technical material, rules, regulations, instructions, reports, charts, graphs, or tables; applies what is learned from written material to specific situations.

**Mathematical Reasoning** – Solves practical problems by choosing appropriately from a variety of mathematical and statistical techniques.

**Physical Strength and Agility** – Ability to bend, lift, climb, stand, and walk for long periods of time; ability to perform moderately heavy laboring work.

Depending on the use you intend to make of a competency or a list of competencies, you may be able to stop here as far as the information you need to know about them in order to use them. Or at least frame how you want to express them. Competencies, though, have many dimensions. More about those dimensions is included in the following pages.

**Types of competencies**

There are at least three types of competencies: Core, Common, and Position (Technical).

**Core competency** – Required by all positions in an organization in order to be able to successfully perform duties required to meet the organization’s mission, vision, values and strategic plan. Typically, competency identification is first done at this level.

**Common competency** – Required by a specific organizational unit or type of position in addition to core competencies in order to successfully perform the duties required. Typically, this step comes next, as the organization moves deeper into competency identification and focuses on particular groups of jobs. Common competencies may be the same as certain core competencies but required at a higher level of proficiency in order to perform specific job duties. Common competencies may also include **technical competencies**, which refer to specific occupational skills gained from education or training or which are based on a particular area of expertise.

**Position competency** – A competency specific to a particular position or a core or common competency for a particular position that is required at a higher level of proficiency. Position competencies may also include technical competencies, which refer to specific occupational skills gained from education or training or which are based on a particular area of expertise.

**Other dimensions of competencies**

***Importance***

If you attempted to describe a particular position in terms of ALL the competencies needed to perform the job duties assigned to it, you would probably have a fairly extensive list. However, within that group is a much smaller group of those competencies that are absolutely imperative to the job. In the Validation section, we’ll talk more about how you determine this group. For now, all you need to know is that all competencies ascribed to a job are not necessarily equal in importance.

The two ways of differentiating importance that we use to validate competencies are **Essentiality** and **Performance Differentiating**.

**Essentiality** refers to whether it is ***essential*** (absolutely necessary) to have this competency in order to successfully perform the essential functions or duties of the position.

**Performance Differentiating** refers to a competency that, if present, contributes to the overall performance of the incumbent in the position(s). In Iowa state government, many agencies are committed to fostering superior performance, so that element could be added to this dimension. (This dimension is a major feature of the hiring and development process, as it focuses on competencies most likely to identify an applicant who will succeed and be a superior performer on the job.)

***Training***

Another way of looking at competencies is to determine if a particular competency is needed at the time the individual is hired, or if there is time or resources to support learning/obtaining the competency on the job. This dimension is called **Necessary-at-Entry**.

Note that the above examples of competencies are written in a fairly general manner. Deliberately, so that they can be used and compared laterally throughout the organization and to other positions/occupations outside the organization. However, because, as written, they are so general, they are limited in their ability to pinpoint the specific job requirements. For instance, **Reading**, as described above, could apply to both a division administrator and a clerical support position. To describe exactly how reading is used on the job, more specificity is needed. That specificity comes from additional features used to describe competencies.

These features include:

**Behavioral indicators –** A task or action step describing how a competency is applied or demonstrated in a job; a sub-step employed in accomplishing the competency.

**Proficiency levels –** The degree of complexity, difficulty, scope, or independence required to apply a competency or behavioral indicator as needed in the job.

**Performance levels –** The degree to which the competency or behavioral indicator has been completed successfully.

***Behavioral Indicators***

Let’s use the competency of **Customer Service** to demonstrate how behavioral indicators are used and why they are needed.

**Definition:** *Works with customers to assess needs, provide assistance, resolve problems, satisfy expectations; knows products and services; is committed to providing quality products and services.*

We can approach identifying the behavioral indicators for this competency a number of ways. The first, and easiest, is simply to split the definition into its various parts.

**Behavioral Indicators – Example 1**

* *Works with customers to assess needs, provide assistance, resolve problems, satisfy expectations*
* *Knows products and services*
* *Is committed to providing quality products and services*

Depending on how much detail you want, the above should work fairly well to distinguish the various aspects of the concept of customer service from each other.

**Behavioral Indicators – Example 2**

As these appear above, though, this version of behavioral indicators is still pretty broad. A second way to develop behavioral indicators may be to start with these parts of the definition and then refine them.

* Assesses customer needs
* Provides assistance to customers
* Resolves customers’ problems
* Satisfies customers’ expectations
* Learns about products and services
* Knows products’ and services’ capabilities, limitations, functions, costs, etc.
* Demonstrates commitment to providing quality products and services.

Another means of identifying the behavioral indicators is to review the class description of the job class in question. Look in the “Work Examples” section. Here are a few customer-service related examples from current class descriptions:

* Answers customer questions and resolves customer service level problems in conformance with established standards; prepares written instructions and presentations and collects information to support problem resolution at higher levels. (Information Technology Specialist 2)
* Provides detailed responses about programs and unit/organization activities to convey information and resolve controversial situations; explains criterion for evaluations, status of projects or program activities, coverage and limitations of services or programs, reasons for regulations or procedures and how systems function and processes interrelate; screens visitors and callers to provide assistance or refer to appropriate resource. (Clerk-Specialist)
* Takes statements from customers in person or over the telephone and submits the information to administrative units so that benefit amounts can be recomputed. (Workforce Advisor)
* Answers inquiries and provides information to the general public on maintenance responsibilities and duties as they relate to the use and upkeep of state property within and along the highway right of way. (Highway Maintenance Supervisor)
* Responds to written or telephone requests from the general public for information or assistance on numerous conservation related topics to assist them with problems or questions they may encounter and to clarify or explain rules. (Park Ranger)

The work examples found on the class description are usually fairly generic to the work of the entire job class. They describe the tasks, functions or job duties and responsibilities for which the competency is needed.

The class description also includes a section on Competencies. The competencies found on Iowa state government class descriptions are written differently than those found in *HR Manager*. Both methods are fine. Those found on class descriptions are written as Knowledge, Ability, Skill and occasionally, Personal Characteristic statements. That works well when the reader needs this type of information. The *HR Manager* format, on the other hand, specifically names the competency and then provides more information about what is intended through the definition.

If even more specificity is the object, it may be helpful to consult the individual Position Description Questionnaire (PDQ) of the position(s) for which the competencies statements are being developed.

Another method of gaining more specificity is the Critical Incident Technique. In this method, the person reviewing the job to obtain a list of needed competencies follows the job incumbent around for a period of time documenting everything they do. At the end of the recording time, every task undertaken is grouped with like tasks and descriptors/titles (competency names) are assigned to them. All of the tasks that have been observed can be considered behavioral indicators or they can be placed together in more general groupings.

Behavioral indicators start to address *how* the competency is applied. There are two other dimensions of competencies that drill even deeper. These are proficiency levels and performance levels.

***Proficiency levels***

**Proficiency levels** indicate the spectrum of complexity with which the competency is to be applied. Proficiency levels describe what expected of both the job and the incumbent. Several “scales” can be used. Here are a couple.

**Iowa state government classification levels:**

Entry/Trainee

Journey/Full Performance

Advanced/Specialist

Lead Worker

Supervisor

Technical Expert

Manager

Here is another grouping of proficiency levels:

Basic

Intermediate

Advanced

*HR Manager* treats these levels as “benchmarks.” Although typically these are listed from Level 1 to 5, usually only Levels 1, 3 and 5 are filled in, the thinking being that there is not enough differentiation between the benchmarks to necessitate filling in all five levels. Not all competencies in *HR Manager* lend themselves to levels. Attachment 1 indicates which competencies do have benchmarks.

Here are the benchmarks for the Professional/Administrative occupational group for **Customer Service**. Note how each level describes similar kinds of actions that differ by their degrees of complexity, difficulty, impact, and independence.

1. - Develops and maintains relationships with customers with diverse needs. Provides technical complex information about products and services. Anticipates and assesses customers’ needs and identifies or tailors products and/or services to meet their needs. Ensures that all problems, questions, or complaints are resolved, including technical or complex issues.
2. - Maintains relationships with customers with diverse needs. Provides moderately technical or complex information about products and services. Assesses customers’ needs and identifies or tailors products and/or services to meet their needs. Resolves fairly complex or nonroutine problems, questions, or complaints; directs the most complex problems, questions, or complaints to the appropriate person.
3. - Has brief contact with customers with limited needs. Provides routine information about products and services. Provides standard products or routine services to customers. Resolves simple problems, questions, or complaints; directs complex or nonroutine problems, questions, or complaints to the appropriate person.

One of the key issues that will be discussed in the Validation section of this manual will be the proficiency level expected of the position. In other words, the level at which the incumbent needs to apply the competency in order to fulfill the requirements of the position. We will also discuss the incumbent’s (or potential job candidate’s) proficiency level in the competency in order to assess whether the incumbents possesses the competency at the needed level.

***Performance levels***

The above discussion about proficiency levels should not confuse the competency with **performance levels**. The performance levels relate to *how well* the competency or the behavior indicators are being performed by the incumbent at any proficiency level. The individual incumbent’s performance level relates to how closely they have met the expectations of the job.

In the Iowa state government performance evaluation system, there are three performance levels:

 Meets expectations

 Exceeds expectations

 Does not meet expectations

Note how they are directly tied to expectations, which are a subset of the performance levels. Expectations in the Iowa state government system are the same as individual goals or strategies. Each of these are further defined by: action steps, performance criteria, and timelines.

There are other ways to differentiate levels of performance, even though we don’t tend to use them in Iowa state government. For instance, the scale listed above can be modified both with additional levels or by the use of other words or concepts (such as developing, which infers there is a “learning mode” dimension to the competency; it is not necessary at entry and therefore the incumbent should not be held accountable at this point in time for being able to use it at the full performance level):

 Outstanding

 Capable

 Developing

 Not demonstrated/not needed

The following are examples of other scales that have been developed for **Integrity** and **Self-Management** by the Department of Natural Resources.

| **Level** | **Integrity** |
| --- | --- |
| **1** | Job-related actions frequently questioned.Makes decisions and choices in a self-serving fashion.Proceeds without regard for negative consequences on self, others or organization.Exhibits questionable ethics. |
| **2** | Provides questionable excuses/explanations when confronted.Has a problem with maintaining confidentiality.Will choose non-ethical course if seen as easier. |
| **3** | Is trustworthy.Demonstrates responsible behavior consistently.Keeps organizational and personal information confidential.Refrains from gossip/rumor-mill.Makes appropriate ethical decisions. |
| **4** | Trusted to not divulge sensitive information.Chooses ethical course in the face of pressure.Understands importance of maintaining confidentiality.Makes an ethical decision even when clearly personally disadvantaged. |
| **5** | Trusted to hold most sensitive information confidential.Takes extraordinary steps to ensure personal and organizational integrity.Displays impeccable track record of ethical conduct and maintaining strict confidentiality.Is an agency influence and example for applying ethics. |

| **Level** | **Self-Management** |
| --- | --- |
| **1** | Shows no organization or planning.Prioritizes few assignments.Spends disproportionate amount of time completing irrelevant tasks.Misses deadlines often.Personal life negatively impacts work. |
| **2** | Begins projects with little or no planning.Gets only the most important tasks finished on time.Uses poor judgment in determining amount of time necessary to complete tasks.Agrees to deadlines which are beyond personal abilities.Has had occasional instances of personal life impacting work negatively. |
| **3** | Prioritizes tasks with respect to importance and time available.Uses realistic estimates in creating timelines for project completion.Categorizes tasks to increase efficiency.Assumes personal responsibility for positive and negative outcomes.Balances work and personal life with no negative impacts on work. |
| **4** | Makes structured plans that accomplish strategic short-term goals.Adjusts goals based on new or additional information.Sets goals above expected level.Meets and exceeds deadlines through efficient time management.Has rich personal and agency life that interact without problems. |
| **5** | Is a self starter who seeks additional challenges on the job.Long range goals incorporate personal and career ambitions.Maintains short and long-term focus in the completion of tasks.Driven by both personal and organizational standards to produce results.Agency and personal accomplishments are extensive and are examples for others how balance can be achieved and remain effective in both. |

To summarize, here is a graphical depiction of the relationships discussed above.

**Competency Road Map**

**Department of Natural Resources’ Competency Wheel**

This “competency wheel” was developed by the Department of Natural Resources to portray what they determined were the core competencies for the organization in the simplest terms possible. Note how the ten core competencies relate to four overriding areas: Self-management, Results, Thought and People. They have also included Leadership competencies as an additional type. As they continue their work developing competencies for the outer circles (Leadership, Common and Technical), those will take their place on the wheel in relation to what has already been developed.

Flexibility

Integrity

Accountability

Technical Competence

Common Sense

High Productivity

Action Orientation

Team Player

Interpersonal Skills

**Core**

**Leadership**

**Technical**

**Common**

Customer Focus

Thought

People

Results

Self Management

**Job Analysis and Competency Validation**

**Job Analysis** is the systematic process which embraces the collection, compilation, verification, study and application of all pertinent information about the nature of a specific job for purposes of meeting such human resource management needs as job evaluation, position classification, recruitment, screening device development, and individual performance evaluation planning and evaluation.

The basic questions to be answered in a job analysis are:

**WHAT** the worker does

**WHERE** the worker does it

**HOW** the worker does it

**WHEN** the worker does it

**WHY** the worker does it

**DEMANDS** imposed upon the worker to do it.

For purposes of workforce planning, the following questions may also be added, as discussed in the previous section of this manual, “What are competencies?”;

**WHAT** proficiency level is required of the worker (none, basic, intermediate, expert, or other derivations)?

**HOW WELL** is the worker expected to perform?

**HOW WELL** does the worker perform?

**WHAT** areas need to be added or improved?

Validation is the process an organization undertakes to ensure that the competencies that have been developed for a position, group of positions, or the organization as a whole best describe the position(s). It is based on collecting formal input from those who know the job best, usually the supervisor and the incumbent(s). Sometimes other “subject matter experts” (SMEs), like peers and other co-workers who are familiar with the work or higher level managers or human resource people from within the organization, are also included.

The validation process we follow in Iowa state government is directly related to the *job analysis* process we have been using for years. The process consists of five steps:

Research and Data Gathering

Competency development

Rating and ranking of competencies (validation)

Data analysis

Implementation

**Research and data gathering**

The project analyst becomes well acquainted with the class concept through any or all of the following actions:

* Review of individual position description questionnaires (PDQs) of incumbents (must be current)
* Review of current class descriptions and standards
* Personal visits and observation of incumbents at work or telephone calls
* Determining the number of positions in the job class, the types of work done by incumbents, user agencies, and the location of the positions
* Review of subject matter texts (for more technical job classes) to become more familiar with terminology, concepts, methods, practices, etc.
* Internet searches to fill in gaps in understanding the work, including visiting sites of occupational associations or other support groups related to the work.

**Competency development**

Once familiarity with the class concept has been established, the major work functions of the job class are generalized into TASK statements. Although in the past a more stylized format has been used in job analysis projects, which is no longer followed as closely, the main goal of the task statement is to describe the function or job duty or responsibility so that the reader knows: WHAT the action is, WHY is it being done (usually preceded by “in order to”) and HOW it is done. Where applicable, work products should also be included.

As noted in the previous section, “What are Competencies?,” task statements are the more concrete, tangible aspects of the job. We start with them because it’s usually easier for both the project analyst and the SMEs to identify them.

After the group has determined final task language, the knowledges, abilities, skills, personal characteristics and behaviors needed to perform each task are then identified. These are referred to in more general terms as *competencies*. Definitions for these can be found in Chapter 4 of the Applicant Screening Manual at <http://das.hre.iowa.gov/management_services/SupvSvcsFrameset.htm>. A general set of competencies that have been developed for the use of agencies in Iowa state government can be found in the State of Iowa Competency Library at <http://das.hre.iowa.gov/pdfs/ClassPay/job_competencies.pdf>.

Depending on the intended use of the competencies and the formality of the process required to validate them, the group brainstorming method described above isn’t the only way to generate a list of competencies. It is used because it is based on group input as well as linked to the most concrete part of the job, the tasks. Also, since it is the product of group input, we assume there is also group buy-in to the list of competencies developed, which may be critical in selling the project or the project’s results to agency management or others in the agency.

Another method for developing competencies is for the project analyst to develop them, usually after reading representative PDQs and other job information. This list can then be taken to the SMEs for their review and modifications. This method reduces the amount of time needed to develop the competencies; it may not even be necessary to develop task statements as long as the project analyst is thoroughly familiar with the class concept. This method also reduces potential group buy-in, although some groups of SMEs would just as soon keep their time and involvement to a minimum through whatever shortcuts the project analyst can take for them.

A third method for developing competencies is to base them on “high or superior performers.” Supervisors can be asked to identify one or two staff whose exemplary job performance they would like to “clone” for other staff and then to describe what it was these people did that garnered them the designation as an exemplary performer. This data can be used as the basis for describing the kinds of competencies that differentiate “superior” performance from simply getting by. Not all projects are intended to identify superior performance, so this approach would be of less value to such projects.

Finally, SMEs or project teams can “brainstorm” a list of competencies on their own. This differs from the first method described above in that it isn’t based on developing task statement first. It is more intuitive. It’s similar to the second method, only it isn’t just the analyst developing the list, it’s a project team. The brainstorming can involve creating a master list of competencies which the group combines and whittles down to a “workable” number or use of the competency library mentioned above.

How extensive should the list of competencies be? There is no pat response to this question other than to say that in most jobs, there is a fairly short list, perhaps ten or less, competencies that are key to accomplishing the work. Throughout the course of performing all job duties, many more competencies may be needed from time to time. It is the job of the project team or the project analyst to determine which of those need to be included in this list and which can be excluded. This is when having developed a list of the key tasks for the job class could be very helpful, because these serve as a point of reference to ensure that all the competencies needed to perform them have been covered.

At this point in the process, it may be worth your time later to include more competencies now rather than fewer. For one thing, the ranking that takes place in the next part of the process will forced SMEs to select the most important competencies to the job overall. When we discuss the Data Analysis stage, we’ll talk about focusing mainly on the top half or top two-thirds of the list.

Another step the project team may want to look at down the road, once the list of competencies has been rated and ranked, is grouping “like” competencies into just a few basic groups. See the DNR Competency Wheel on page 8 for an example.

At some point in the process of competency development, the project analyst or the project team will want to also develop definitions for the competencies selected. The degree of specificity will vary according to the project’s scope and intended results, but some clarification or tying down of what is meant by the competency will be necessary for the next step in this project, validation. Group-defined definitions may take longer to develop than the list of competencies themselves, but this approach has the advantage of everyone winding up with the same understanding of what they have produced. It is recommended that the definitions in the Competency Library or in *HR Manager* be used to reduce the time spent on this part of the process.

**Rating and ranking of competencies (Validation)**

This step in the process is intended to verify that the list of competencies that has been developed indeed best represents the class concept. To do that, either the same group of SMEs or another group who know the job equally well, is asked to “rate” each competency as well as rank them overall with the rest of the list of competencies. Typically, they do this based either on their own job or on the group of jobs they supervise. Unless there are very few positions in the job class, not all class incumbents participate in this phase. The group that does participate is expected to be as representative as possible of the job class as a whole in the categories of job mix, male-female and minority make-up and experience on the job. At least one, and often several, supervisors are also SMEs in order to represent their perception of the job class. The group’s composition is determined by the project analyst and the management liaisons of the representative user agencies.

***Rating***

Once the list of competencies to be rated has been developed, each competency should be given a code to distinguish it from the others. The code can be as simple as sequential numbers (1, 2, 3…) or if the competencies have been divided already into like groups, each group could be given an alpha code (A1, A2, A3...). Coding the list helps with both rating and ranking.

The questions most frequently asked to rate each competency are:

* Is it ***essential*** (absolutely necessary) to have this competency in order to successfully perform the essential functions of this position? (Yes or No)
* Is it **necessary** for a worker to have (possess) this competency when they start work in this job class? (Yes or No)
* This competency, if present, contributes to superior performance in this job class. (Yes or No) OR Does this competency differentiate overall levels of performance in this job? (Yes or No)

Depending on the intended use of the data collected and how the competency will be employed as part of the Human Resource Management cycle, the project analyst may want to include other questions to be rated in this section or, once this data has been analyzed and the final list of competencies determined, have SMEs rate that list against additional questions that solicit more in-depth information about the competencies. For instance, consider some of the other dimensions of competencies discussed in the last section. Raters might be asked what proficiency level is needed to apply the competency as needed by the job. The response to that question could vary from position to position or class level to class level; the proficiency level of the competency could contribute to establishing and understanding the difference between two class levels. Before such additional rating questions should be asked, the project analyst needs to appreciate why such data is necessary, how it will contribute to better understanding the class concept, and how it will contribute to human resource management activities related to specific positions for workforce planning purposes.

***Ranking***

The ranking of competencies usually has two components.

* Assign each competency one rank, #1 being most important. This is a “forced” ranking, so each competency may only be ranked once and each rank may only be assigned to one competency.
* List any competencies that are not performed in the job.

***SME documentation***

As part of the validation process, each SME is asked for background information listing their name, job class, date, agency, location, supervisor, educational and employment history. This is done to document that the person providing the information was indeed familiar with the job and understood the class concept.

***Electronic validation***

At this time, DAS-HRE does not have an electronic means to intake electronically the data generated during this step. But user agencies may have either the means or the technical staff who can create such a vehicle since the questions that comprise the rating and ranking are fairly straightforward. Electronic survey instruments such as “Zoomerang” or meeting software (group votes) may also be adapted to this use. If these aren’t used, the data is collected manually and manually entered into an ACCESS database or EXCEL spreadsheet.

**Data analysis**

Generally speaking, the following guiding principles apply to further use of the competencies once they have been validated:

* The competency must fall in the top half or top two-thirds of the overall rankings.
* At least a majority of the raters (this percent may be set higher, like 75%) must have indicated the competency is essential to the overall job.

If the competency is going to be used in the recruitment or hiring processes,

* At least a majority of the raters (this percent may be set higher, like 75%) must have indicated the competency is necessary at entry to the overall job.

If the agency is committed to raising overall performance and striving for high performers,

* At least a majority of the raters (this percent may be set higher, like 75%) must have indicated the competency contributes to superior performance.

Though this phase of the process is based on fairly clear-cut statistics, the project analyst may still encounter various anomalies. For instance, the raters may be split on how essential a certain competency is to the job. This could be the result of random, independent opinions, in which case the project analyst would need to use their best judgment whether to include or exclude the competency from further consideration. Or the group could be repolled, if absolutely necessary, if there was concern that not everyone understood what was meant by the competency. There needs to be a strong, defensible rationale for doing this, or it could otherwise be construed as data tampering.

On the other hand, the rater split could be the result of two or more different perspectives based on organizational differences. Two distinctly different divisions could have differing opinions about how essential a certain competency is depending upon the work culture and “world view” within each. In such cases, the project analyst may want to discuss the discrepant responses with the leaders of each division to verify such divergent opinions could co-exist within the overall organization or have these leaders rectify the situation by either including or excluding the competency.

**Implementation**

From the beginning of the project, the project analyst needs to know the intended use of the competencies developed so that once the data analysis phase has been completed there should be little question what to do next with the data collected. For instance, if the intent of the project is to establish a competency-based hiring process, the project analyst knows the “necessary at entry” rating question will carry considerable weight in future steps. Typically, though there are always exceptions, the higher the level of the job class, the more necessary at entry competencies it will have. These will tend to be higher levels of technical competencies that must either have been learned on prior jobs, through other experience or through specific academic training. Or, they will be higher proficiency levels of the presumably “softer,” more generic competencies like decision making or communications skills. Lower proficiency levels of these same competencies may be more difficult to discern because they are so much more generalized.

At the beginning of the project, the project analyst also needs to know the scope of the project. Is it to establish core competencies for the entire agency? If so, the diversity and scope of input needed will most likely be greater than what is needed to establish the competencies of a particular position. Is it to establish common competencies for a group of similar positions? If so, do they span more than one organizational unit? If they do, the project will need representative input.

On the other hand, if the purpose is to establish an individual development plan for one position, other considerations are involved. What is the proficiency level expected of the position and what is the individual’s current proficiency level? Is there a gap? If there is, how should the development plan be structured to help the incumbent bridge that gap?

The implementation phase should also include a project report. The main purpose of the report is to document what the project purpose. In addition, it should include how it was carried out and who participated. And finally, what steps need to be taken to implement the findings?

A short outline of the report includes:

* Project scope and purpose
* Background
* Initial state
* Methodology used and why
* Findings (data can be included as attachments)
* Recommended actions
* Implementation plan/next steps/follow-up steps

**Using Competencies in HR Processes**

The most frequent uses of competencies in the human resources management cycle are for:

* Job design – developing Position Description Questionnaires
* Recruitment – vacancy announcements
* Hiring/Screening
	+ Minimum Qualifications and Selective Certification
	+ Initial screens
	+ Questionnaires
	+ Determining who to interview
	+ Interview Questions
	+ Reference Checks
* Orientation
* Development Plans
* Individual Performance Plans
* Succession Planning

The following sections explain how competencies are used in each of these areas.

**Job Design**

This is where it starts, where the supervisor determines what a particular position/job should do. In Iowa state government, the specifics of the job are documented in the Position Description Questionnaire (PDQ). As noted before, this process most likely starts with identification of the tasks or duties and responsibilities to be assigned to the position. It should also include the purpose of the position and how it fits into the overall organization. What results or outcomes does it produce and how do they contribute to the overall mission of the organization?

From that list, the supervisor builds the list of competencies the incumbent needs to possess or be able to do in order to accomplish the tasks. Since these competencies are usually tailored to one particular position, they can be written exclusively for the position, which means they can be very specific. They should include or be based on the State’s core competencies, pertinent competencies from the class description, core competencies for the agency or work unit, and common competencies for similar positions.

**Recruitment**

You’ll find more on this area in Section 4, Strategies, in the Workforce Planning Guide. For our purposes here, the relationship of competencies to recruitment, there are two main areas to be concerned about. The first is the vacancy announcement, which is the primary vehicle for letting potential job applicants know about the position vacancy and informing them what kinds of competencies you are seeking. These competencies are from the group that falls into all three rating categories: essential, necessary-at-entry, and performance-differentiating. These are the primary knowledge, abilities, skills and behaviors the successful candidate needs to bring to the job. Although you may have identified numerous competencies in this group, focus on no more than the top ten; if possible, focus on the top five, because it will be easier to move on to the step described in the next paragraph as well as prepare a clear and succinct vacancy announcement.

The other relationship between competencies and the recruitment process is the identification of the primary recruitment sources of individuals who possess the competencies you’re seeking. It’s likely, though not necessary, that you’ll focus on the technical competencies associated with the job at this stage. For instance, if the vacant position is a chemist, you’ll probably be seeking someone with a degree in chemistry or some kind of experience applying the principles and practices of chemistry. It’s unlikely someone is going to learn chemistry on the job.

On the other hand, some entry level jobs, like Personnel Management Specialist, don’t require education in a specific degree area, although experience in the field of human resources is recognized as one way to qualify. Vacancy announcements for job classes like this tend to draw a large number of applicants because the recruitment sources are so broad and the competencies needed are fairly general, like “the ability to learn.” The challenge for the supervisor is to provide enough information about the job through strategies such as “realistic job previews” that candidates screen themselves out of the process before application.

**Minimum Qualifications and Selective Certification**

In the process of considering the qualifications of applicants for your jobs, there are two dimensions that are used: yes/no with respect to everyone being considered being minimally qualified and then, for all those who meet the “yes test,” comparison of their qualifications to the qualifications of the other candidates for the job. This section is concerned only with the yes/no part.

To meet the minimum qualifications for the job, the applicant must have acquired the competencies that are both essential to perform the job and necessary-at-entry. Through analysis of the job class and consultation with agency SMEs, DAS-HRE determines what types of education, experience or other kinds of background or licenses, certifications, registrations, etc. provide those competencies. It is assumed that someone with the identified kinds and amounts of education, experience, or other qualifications is likely to possess the required competencies.

Minimum qualifications relate to the job class. Every position within the job class is subject to the same minimum qualifications.

Selective certification, on the other hand, relates to specific positions within the job class. Selective certification is a means of narrowing the scope of the minimum qualifications. It is used when the essential, necessary-at-entry competencies for the position are more specific than those required for the overall job class though included within the existing minimum qualifications.

More on minimum qualifications and selective certification can be found in Chapter 9 of the *Applicant Screening Manual*.

**Initial Screen**

The next few sections deal with the second dimension mentioned above in Minimum Qualifications and Selective Certification, comparison of candidate qualifications. When the number of applications received is larger than the number of applicants it is feasible and appropriate to interview, there are a number of steps the hiring authority can pursue to reduce the number to consider. What we term here as an “initial screen” is typically a quick sort. Basing that sort on the essential, necessary-at-entry, performance-differentiating competencies is a viable means of narrowing the field.

**Questionnaires**

Questionnaires are another way of reducing the field of candidates and zeroing in on those best qualified for the job. You can ask all applicants on the list of eligibles to complete them or these can be sent to a specific group of applicants following an initial screen. Although there are several formats and approaches that can be used in structuring this type of screening tool, as questionnaires relate to competencies, they should either provide the hiring authority with more information about the applicant’s background than found in either the application or the resume OR they should elicit information about the applicant’s competencies that may differentiate him or her from other applicants, thus indicating they are more qualified for the position.

The *Applicant Screening Manual* provides more explanation of how to develop questionnaires and their related scoring/weighting systems.

**Determining Who to Interview**

This step in the hiring process may come as the initial screen described above or later in the process after having used other screening tools, like a questionnaire. Deciding who to interview may simply be to go with the highest scores from those devices, which were based on competencies. You may also discover in the course of the hiring process to this point that you’re not obtaining the kind of information about their competencies that you need to make an informed decision about the applicants. Even though those competencies may not be addressed at this point, you could determine here what you still need to find out about the candidates in the next steps in the hiring process, the interview and reference checks.

**Interviews**

Most hiring processes include an interview of some sort. There are two basic types, the in-person interview and the telephone interview. Each of those types may be conducted either by one person or a group (panel). Interview questions are based on essential, necessary-at-entry competencies. The interview, especially the in-person version, is one of the best places to address the less concrete competencies. In Iowa state government, we practice behaviorally based interviews, which means that questions tend to be open-ended and the person being interviewed is asked questions like “Tell me about…” or “Give me an example of a time when….” These are directly related to the competencies that have been identified as most important to the job. These questions aren’t necessarily necessary-at-entry competencies, although those should be covered as well.

Competency-based interview questions are available through your personnel officer. It is up to the interviewer to determine the “correct answers.” Interview question response rating and weighting scales are discussed in more detail in Chapter 17 of the *Applicant Screening Manual*. Suffice it to say here that the interviewer or interviewing panel will have, prior to the interview, identified the kinds of information they are seeking about how the applicant has used the competencies. Competency factors to be considered include the elements discussed in the earlier section: behavioral indicators, proficiency levels and performance levels.

**Reference Checks**

You may not be able to obtain all the information you need about the applicant’s possession of a particular competency in the interview or you may need to verify what you have learned from the applicant. That’s the purpose of the reference check. It, too, should be framed around the most important necessary-at-entry competencies. Here a few examples of how to word reference check questions:

**Computer Skills**

Please describe the applicant’s computer skills using word processing, spreadsheets, and databases in regard to timeliness, accuracy, completeness, and clarity of results.

**Follow through**

Please describe the applicant’s ability to follow through on projects, assignments and other commitments.

**Orientation**

The new hire’s orientation to the job is part of the onboarding process, starting them in the job in a welcoming, positive manner that will enhance their chances of succeeding in the job and liking their career decision. Generally, we tend to see orientation in terms of telling the new hire about the job rather than obtaining information from them. Orientation is part of *probation*, the final step in the hiring process. It is the final opportunity to review the assessments that have been made about the new hire’s competencies before they attain permanent status; once the new hire has permanent status, correcting, modifying, adding necessary-at-entry and other competencies may become more challenging.

**Development Plan**

This stage goes hand in hand with orientation for the new hire, but then the process keeps repeating throughout the employee’s tenure in the job. The Development Plan may have more than one purpose. One purpose may be to enhance existing competencies. Another purpose might be to expose the employee to new competencies that will be required by the job. Or it might be to improve upon the performance of existing competencies.

**Competency Assessment**

One of the major steps in both workforce planning and succession planning is to analyze the capacity of the current workforce. Generally, this step comes after leaders have identified the key competencies that will be needed in the future workforce in order to be aligned with the organization’s strategic plan or direction. In other words, “this is what we need, now, how much of that resides within our current talent base?”

In order to answer that question, the current workforce needs to be assessed. Sometimes this is done from an organizational or unit perspective in order to improve or enhance the core competencies desired/required by the organization. In other words, leaders review their staff’s capacities overall and develop overall.

Sometimes, though, the competency assessment is conducted at the individual level. The supervisor and/or the employee review that particular employee’s competency strengths and challenges. This assessment can be undertaken from different perspectives:

* Does the employee possess or have the ability to perform the competency?
* If so, at what level?
* Is the competency currently needed and/or used in the employee’s job?
* If so, at what level?
* How well does the employee perform or apply this competency? If additional development is needed, what will that consist of and how will it be obtained?
* Is this competency one the organization needs in the future? If so, does the employee possess it in the manner it will be needed by the organization? Even if they possess it, have they thus far demonstrated it in the manner it will be needed by the organization?

The manner in which competencies are assessed depends on how the information collected is going to be used.

* Will it be considered as part of a larger organizational assessment to determine gaps between current capacity and future competency needs? Will it be fed back into an overall organizational development plan as described above where everyone will be expected to learn and use the competency?
* Will it be used to improve the employee’s current performance? In other words, will it be a key consideration in the employee’s individual development plan?
* Will it be used to assess the employee’s potential future job assignments and career progression, be they through shifts in duties or promotions?
* Will it be used to assemble a talent pool to be developed for future vacancies?
* Will it be fed into an organizational skills inventory to be used as future needs arise?

The difficult part about assessing competencies is that they are best judged by whether or not the employee has demonstrated them in the job. That judgment is made either by the supervisor, peers, sometimes customers, or by the employee. But as we have already discussed, there are many dimensions of competencies. Competencies need to be described in more detail using these dimensions in order for all involved to understand what is expected or desired.

For some of the more concrete competencies like math skills, spelling and punctuation, and reading comprehension, there are a variety of tests on the market that can be used for assessment purposes. Keep in mind, though, if any kind of employment decision will be made as a result of how the employee “scored” on these tests, the instrument must also be validated for the job(s) in question.

However, not all competencies lend themselves to concrete testing situations from which “scores” can be derived. Many competency assessments must come from other means. For instance, in the State of Iowa Performance Planning and Evaluation System, competencies tend to be the offshoot of the individual performance evaluation. The Individual Development Plan identifies competencies to be developed which either need to be improved based on the documented evaluation results, enhanced based on the employee’s accomplishments described in the evaluation, or to be added, based on projected future needs of the organization. The recommended model for the State’s Individual Development Plan is based on competencies. It can be found at <http://das.hre.iowa.gov/docs/EDPD/TheIndividualDevelopmentPlan.doc>.

Another quick and informal means of assessing competencies is the self-assessment. This is a double-edged sword, having the advantage of the employee supposedly knowing herself or himself best and the disadvantage of the employee’s potentially skewed or unaware self-perception. However, it is a good place to start in inventorying the employee’s current capacity. An example of a self-assessment is found in Appendix 5.

The supervisor or others who know the employee’s work may also assess their competencies. This can be done from at least two different aspects. One, at what level is the competency required by the job and at what level is the employee performing/using it? The other aspect considers how well the employee is performing the competency. Appendices 6 and 7 provide examples of the first approach, and Appendix 8 is an example of the second.

Once the assessment(s) have been completed, they are compiled and summarized graphically to show at a glance current capacity versus development needs. This can be done by listing assessment determinations in comparison to core competency required levels, in comparison to common competencies required by certain units or occupations within the organization, or in comparison to specific position competencies, whether those be the assessee’s current job or a potential promotion or new assignment.

Appendix 9 shows a format for listing the competencies needed by a given position and the level of that competency.

 **Appendix 1**

Comparison of *HR Manager* Competencies

| **Professional/Administrative (44)** | **Clerical/Technical (31)** | **Supervisor/Manager/Executive (22)** |
| --- | --- | --- |
|  |  |  |
| Agility |  |  |
| **Arithmetic** | **Arithmetic/Mathematical Reasoning** |  |
| Attention to Detail |  |  |
|  |  | **Client Orientation** |
| **Conflict Management** |  | **X** |
|  | **Conscientiousness** |  |
| **Creative Thinking** | **X** | **X** |
| **Customer Service** | **X** |  |
| **Decision Making** | **X** |  |
|  |  | **Decisiveness** |
| Depth Perception |  |  |
| **External Awareness** |  | **X** |
| Eye-Hand Coordination | X |  |
| **Financial Management** |  | **X** |
| **Flexibility** | **X** | **X** |
| **Influencing/Negotiating** |  | **X** |
|  | **Negotiation** |  |
| **Information Management** |  |  |
| Integrity/Honesty | X |  |
|  |  | **Internal Controls/Integrity** |
| **Interpersonal Skills** | **X** | **X** |
| **Leadership** | **X** | **X** |
| Learning |  |  |
|  | **Listening** |  |
| **Managing Human Resources** | **Manages Human Resources** | **Human Resources Management** |
|  |  | **Managing Diverse Workforce** |
|  | **Manages Resources** |  |
|  | **Manages & Organizes Information** |  |
| **Mathematical Reasoning** | (Arithmetic and Mathematical Reasoning) |  |
| Memory | X |  |
| Mental Visualization | X |  |
| **Oral Communication** |  | X |
| **Organizational Awareness** | **X** |  |
| Perceptual Speed | X |  |
| Peripheral Vision |  |  |
| Physical Strength | Physical Strength and Agility |  |
| **Planning and Evaluating** |  | **X** |
| **Problem Solving** |  | **X** |
| **Reading** | **X** |  |
| **Reasoning** | **X** |  |
| Self-Esteem | X |  |
| **Self-Management** | **X** | **Self-Direction** |
| Spatial Orientation |  |  |
|  | **Speaking** |  |
| Stamina | X |  |
| Stress Tolerance |  |  |
| **Teaching Others** | **Teaches Others** |  |
|  |  | **Team Building** |
| **Teamwork** | **X** |  |
| Technical Competence | X | **X** |
|  |  | **Technology Management** |
| **Technology Application** |  |  |
|  | **Applies Technology to Tasks** |  |
| **Vision** |  | **X** |
| Visual Color Discrimination |  |  |
| Visual Identification |  |  |
| **Writing** | **X** | **Written Communication** |

# X = Same as other occupational group

Shading = Interview questions available

Bold = Benchmarks available

 **Appendix 2**

**Competency Validation Questionnaire**

(Name of Department)

Rater Background Information

**Please complete the following form or attach a current resume. This information will be retained as a record to document that you are an expert qualified to provide the information included in this questionnaire. The rating and ranking you will do as a “subject matter expert” (SME) verify that the competencies that have been developed for (name of agency, unit, job class, etc.) adequately describe the jobs in question.**

1) Today’s date

2) Highest level of education attained:

3) Special licensures or certifications:

4) Your current job title:

a) time spent in this position:

b) Brief description of duties:

5) Previous positions:

a) Job title:

b) Time spent in this position:

c) Duties:

a) Job title:

b) Time spent in this position:

c) Duties:

a) Job title:

b) Time spent in this position:

c) Duties:

**Competency List**

**Competency:** Competencies are observable and measurable knowledge, abilities, skills and behaviors that must be applied to achieve results aligned with the goals of the organization.

**The following competencies have been developed by (name of project analyst, project team, etc.) based on the tasks, job duties and responsibilities performed by (this job class, the jobs in our unit/organization, etc.). When rating and ranking these competencies in the following sections of this questionnaire, refer to the numbers assigned to them on this page.**

(The following list is an example based on competencies developed by the Department of Natural Resources.)

**C1 Passion for the work** – Displays a passion for work performed; cares about others and about natural resources; extremely committed, while maintaining a reasonable perspective; displays a high level of effort toward performing the work; finds work meaningful and accomplishments matter; demonstrates responsible behavior.

**C2 Team Player** – Participates consistently as an active team player; open to others’ ideas and suggestions; willing to share own ideas and information and not retain knowledge as power; encourages and facilitates cooperation, pride, trust, and group identity in the team; works with others to achieve goals; displays appropriate humility in participation and in performing work; respects authority and recognizes own role and limitations; motivates and challenges others.

**C3 Action-oriented** – Takes on new challenges; completes tasks quickly; likes to get assigned work done right away; self starter who does not wait for directions/actions from others to start; displays self-initiative; volunteers for assignments; beats deadlines; takes on more than is asked.

**C4 Oral communication** – Expresses information, images, ideas or facts to individuals or groups effectively, taking into account the audience and nature of the information which may be technical, sensitive or controversial; makes clear, convincing, grammatically correct oral presentations to provide a meaningful and compelling message to a wide variety of audience backgrounds and size of groups; listens to others, attends to nonverbal cues, and responds appropriately; recognizes that he/she is representing the Department and not presenting personal views.

**C5** **Writing** – Recognizes and uses correct English grammar, punctuation and spelling; communicates information including facts, ideas or messages in a succinct and organized manner; produces clear, convincing written information, which may include technical material, that is appropriate for the intended audience.

**C6 Creativity** – Uses imagination to develop new ideas and insights; applies innovate solutions to problems; designs new methods where established methods and procedures are inapplicable, unavailable or ineffective; adapts thinking quickly as situation dictates.

**C7 Learning** – Learns quickly and remembers the content; uses efficient learning techniques to acquire and apply new knowledge and skills; effectively applies training, feedback or other opportunities for self-learning and development; energized by the learning process; thrives in an environment that requires learning new subject matter or skills; recognizes own limitations.

**C8 Reliable** – Very dependable as reflected in attendance at work; conscientious about completing work; demonstrates consistent performance; regularly meets or exceeds deadlines.

**C9 Critical Thinking Skill/Reasoning** – Gathers relevant information systematically; seeks input from others; considers a broad range of issues or factors; grasps complexities and perceives relationships among data, events, problems or issues; uses accurate logic; generates suitable alternatives and accurate solutions.

**C10 Flexibility/Adaptability** – Willing to change; adapts behavior or work methods in response to new information, changing directions, conditions or unexpected obstacles; effectively deals with ambiguity; expects changes and does not resent sudden requests or unforeseen circumstances; able to sort out important versus non-important information; applies common sense to making decisions; applies political savvy to understanding the situation.

**C11 High Productivity** – Produces consistent, high quality and quantity of outputs and meaningful results that contribute to the agency mission and strategic goal. Is efficient in producing results that are delivered on time or before. Able to multi-task productively because is well-organized; applies time management processes and procedures effectively.

**C12 Positive Attitude** – Deals effectively with pressure and maintains focus and intensity and remains optimistic and persistent, even under adversity; recovers quickly from setbacks; effectively balances personal life and work; takes responsibility, ownership and pride in products and decisions; is enthusiastic and energetic and maintains sense of humor.

**C13 Customer Service-Oriented** – Is committed to continuous improvement of services; works with clients and customers, the general public, individuals who work in the agency, other agencies, or organizations outside government to assess their needs, provide information or assistance, resolve their problems or satisfy their expectations; knows about available products and services; is committed to providing quality products and services.

**C14 Attention to Detail** – Is thorough when performing work; conscientious about attending to detail; few errors in work performed.

**C15 Interpersonal Skills** – Shows understanding, friendliness, courtesy, tact, empathy, concern and politeness to others; develops and maintains effective relationships with others; deals effectively with individuals who are difficult, hostile or distressed in a non-confrontational manner; does not take things personally; relates well to people from varied background and different situations; is sensitive to cultural diversity, race, gender, disabilities and other individual differences.

**C16 Vision** – Maintains a long-term viewpoint; understands where the organization is headed and how to make a contribution; recognizes opportunities to help the organization accomplish its objectives or move toward its vision; applies understanding to current and future work.

**C17 Integrity** – Displays high standards of ethical conduct and honesty; contributes to maintaining the integrity of the organization; understands the impact of violating these standards on an organization, self and others; is trustworthy; refrains from theft or dishonest behavior.

**C18 Self-Management** – Sets well-defined and realistic personal goals; displays a high level of initiative, effort and commitment toward completing assignments in a timely manner; highly productive while working with minimal supervision; is motivated to achieve; demonstrates responsible behavior; applies some commitment to all assignments.

**C19 Planning and Evaluating** – Organizes work, sets priorities and determines resource requirements; determines short- and long-term goals and strategies to achieve them; coordinates with other organizations, parts of the organization or other staff to accomplish goals; monitors progress and evaluates outcomes.

**C20 Common Sense** – Applies appropriate criteria to situations for the purpose of making decisions and choices; determines accuracy and relevance of information; uses sound judgment to generate and evaluate alternatives and to make recommendations and choices; displays self-confidence in own judgment.

**C21 Computer Skills** – Applies MS Office Suite including Word, EXCEL and PowerPoint in order to make work easier and to improve its quality; makes professional-appearing documents and presentations; knows how and when to apply spreadsheets; uses email effectively to communicate information.

**C22 Technical Competence** – Uses knowledge that is acquired through formal training or extensive on-the-job experience to perform one's job; works with, understands, and evaluates technical information related to the job; advises others on technical issues.

 **Appendix 3**

**Competency Rating**

**Rating Instructions: Please answer the following questions about each of the competencies on the competency list. Fill in your answer on the attached form. Read each of the competency statements carefully and then select the most appropriate response to each question before proceeding to the next competency statement. The information you provide will be used to identify the critical competencies required to the perform successfully as an employee in (this job class, this unit, this department, etc.).**

**Also, make comments on the wording of the competences on the Comments Sheet.**

**Rating Questions**

* + 1. Is it **essential** (absolutely necessary) to have this competency in order to perform an essential function or duty of the positions in this job class (in this work unit, agency)?
			1. Yes
			2. No
		2. Is it necessary for a worker to have this competency when they start in a position in this job class (work unit, agency)?
			1. Yes, although there may be an introduction to its application in the work situation.
			2. No, because the worker will have an opportunity to learn this competency after being hired.
		3. This is a competency that, if present, contributes to **superior** (higher-level, outstanding) **performance** as a worker in this job class (work unit, agency). (These should be the competencies most likely to identify an applicant/employee who will succeed and be a superior performer on the job. These are competencies that are important to the interviewing and development processes.)
			1. Yes
			2. No

 **Appendix 4**

**Competency Rating and Ranking**

**Instructions**

**Rating:** Place your answers (**1** for Yes, **2** for No) to the rating questions in the appropriate columns. Rate every competency for each of the three rating questions.

**Ranking:** After rating all competencies, place an **X** in Column **D** for each competency you rated a **2** in Column **C.** These competencies should not be ranked, as you have told us they do not contribute to superior performance in the job class (work unit, agency).

Read each competency and definition on the competency list. After reading the entire list of competencies, consider the importance of each competency in relation to all other competencies on the list. Now, rank the most important competency that contributes to superior performance as #1 in the Rank Column, the second most important competency as #2, etc. Do this until you have ranked all the competencies you rated as a 1 in Column C. (**Do not** rank those with an X in Column D.)

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Competencies** | **A** | **B** | **C** | **D** | **Rank** |
| **C1 Passion for the work** |       |       |       |       |       |
| **C2 Team Player** |       |       |       |       |       |
| **C3 Action-Oriented** |       |       |       |       |       |
| **C4 Oral Communication** |       |       |       |       |       |
| **C5 Writing** |       |       |       |       |       |
| **C6 Creativity** |       |       |       |       |       |
| **C7 Learning** |       |       |       |       |       |
| **C8 Reliable** |       |       |       |       |       |
| **C9 Critical Thinking/Reasoning** |       |       |       |       |       |
| **C10 Flexibility/Adaptability** |       |       |       |       |       |
| **C11 High Productivity** |       |       |       |       |       |
| **C12 Positive Attitude** |       |       |       |       |       |
| **C13 Customer Service-Oriented** |       |       |       |       |       |
| **C14 Attention to Detail** |       |       |       |       |       |
| **C15 Interpersonal Skills** |       |       |       |       |       |
| **C16 Vision** |       |       |       |       |       |
| **C17 Integrity** |       |       |       |       |       |
| **C18 Self-Management** |       |       |       |       |       |
| **C19 Planning/Evaluating** |       |       |       |       |       |
| **C20 Common Sense** |       |       |       |       |       |
| **C21 Computer Skills** |       |       |       |       |       |
| **C22 Technical Competence** |       |       |       |       |       |

 **Appendix 5**

|  |
| --- |
| Competency Self-Assessment |

|  |  |
| --- | --- |
| **Name:** |       |
| **Current Title:** |       |
| **Years in Current Position:** |       | **Years with Department:** |       |
|  |
| **List previous positions/titles with Department:** |
| 1. |       |
| 2. |       |
| 3. |       |
| 4. |       |
| 5. |       |
| **Years with State Government:** |       |  |
|  |
| **List previous positions/titles with state government:** |
| 1. |       |
| 2. |       |
| 3. |       |
| 4. |       |
| 5. |       |
|  |
| **List previous positions outside state government and time periods:** |
| 1. |       |
| 2. |       |
| 3. |       |
| 4. |       |
| 5. |       |
|  |
| **Competencies\* critical to current job (with each competency, list 2-3 typical activities that would describe how this competency is used):** |
| 1. |       |
| 2. |       |
| 3. |       |
| 4. |       |
| 5. |       |
|  |
| **Additional competencies I possess:** |
| 1. |       |
| 2. |       |
| 3. |       |
| 4. |       |
| 5. |       |

 **Appendix 6**

**Competency Inventory**

For each of the following competencies, indicate your level of job knowledge and work experience IF applicable. If not, place an X in the Not Applicable box.

**Job Knowledge**

**1 – Entry Level**

You understand basic theories and principles regarding this competency. You gained your experience through education and/or on-the-job training. You would need some help performing this competency.

**2 – Advanced**

You have related and repeated experience regarding this skill. You have received some instructions from a specialist with respect to details of assignments, but work has been performed independently OR you have graduate education that is specified in the skill description.

**3 – Specialist**

You are recognized as “the person to ask” in your immediate organization regarding this skill. You are probably also known outside your organization for your subject matter knowledge. You have extensive experience and could teach or coach the subject.

**4 – Expert**

You can answer any question about the skill and most any question related to the field where the skill is used. The “specialist” would come to your for advice.

**Work Experience**

**1 – Level 1**

Your work experience in this area has been of a routine nature. A supervisor closely monitored you work.

**2 – Level 2**

Your work experience in this area has been of a limited independent nature. Decision-making was controlled by established guidelines. Your work was reviewed regularly by a supervisor.

**3 – Level 3**

Your work experience in this area has been of an independent nature as you were responsible for establishing your own work methods. Your duties required analysis of technical data and independent decision-making. Your work was reviewed occasionally by a supervisor for project conformance.

**4 – Level 4**

Your work experience in this area has been of an independent, complex nature. Your duties involved careful analysis and interpretation of data for the purpose of planning, developing and problem solving. Your work progress was communicated to the supervisor through occasional status meetings.

**5 – Level 5**

Your work experience in this area has been of a highly diverse and complex nature. Your duties involved exercising administrative, managerial or technical skill for the purpose of research, planning, development and coordination of large-scale projects. You were free to plan and organize all phases of the work necessary for its completion.

**Competency Inventory**

**Occupational Field: Forestry**

|  |  |  |  |
| --- | --- | --- | --- |
| **Competency** | **Job Knowledge Rating** | **Work Experience Rating** | **Not Performed** |
| Knowledge of the principles and practices of natural science as related to forestry and forest management. |  |  |  |
| Knowledge of the principles and practices of natural science as related to forestry and forest management |  |  |  |
| Knowledge of the local timber types, local markets, and wood using industries and their role in the utilization of forest products. |  |  |  |
| Knowledge of diseases and insects which may adversely affect woodlands, and their treatments. |  |  |  |
| Knowledge of the current literature, trends, and developments in the forestry or forestry management fields. |  |  |  |
| Knowledge of technical and specialized equipment and tools used in professional forestry work (i.e., increment borer, compass, hagometer, sampling prism, saws, wedges). |  |  |  |
| Knowledge of forest fire prevention and fire fighting methods. |  |  |  |
| Ability to apply forestry principles and practices in the management of public and private wooded lands. |  |  |  |
| Ability to plan and organize own work and the work of lower level forestry personnel. |  |  |  |
| Ability to effectively train employees in new forestry procedures and techniques. |  |  |  |
| Ability to work out of doors under any type of weather condition, and to withstand physically demanding work, such as lifting, bending, hauling |  |  |  |
| Ability to safely operate specialized forestry equipment such as increment borer, compass, hagometer, sampling prism, saws, wedges, etc. |  |  |  |
| Ability to inspect forested areas (on foot and by aerial photos) and detect signs of decay, deterioration, disease, etc. |  |  |  |
| Ability to remain on call during emergencies. |  |  |  |
| Ability to keep complete and accurate notes and statistical data to be used in reports. |  |  |  |
| Ability to prepare budgets for personnel and equipment expenditures and to prepare related reports. |  |  |  |
| Ability to inspect work done by contractors for completeness, accuracy, timeliness, adherence to standards/legal terms, etc. |  |  |  |
| Knowledge of professional forestry principles and practices. |  |  |  |
| Knowledge of natural resource practices required in Iowa. |  |  |  |
| Ability to make decisions based on research and management data. |  |  |  |
| Ability to effectively train employees in new techniques. |  |  |  |
| Ability to formulate area or statewide plans for a major forestry area of responsibility. |  |  |  |

 **Appendix 7**

**Competency Assessment**

Select the desired competencies to assess from the list below or from another list of competency level definitions and examples you develop. Inconsistencies between “Level Demonstrated by Incumbent” and “Level Needed in the Future” or between “Level Required by Current Position” and “Level Needed in the Future” form the basis of the gap analysis.

|  | **Level Demonstrated by Incumbent** | **Level Required by Current Position** | **Level Needed in Future** | **Definition** | **Examples** |
| --- | --- | --- | --- | --- | --- |
| **Reading** |
| 5 |  |  |  | Reads complex materials that convey scientific, technical, or legal information. Reads highly complicated charts, tables, graphs, or diagrams. Applies information to complete complex tasks. | Reads new statutes or regulations to interpret their intent and impact on the agency/corporation’s mission. Reads several research reports to provide managers with information to change policies. |
| 4 |  |  |  |  | Reads management reports to provide detailed summaries for personnel throughout the agency/corporation. Reads technical reports to verify consistency with current policy. Reads technical manuals to install computer hardware for the office. |
| 3 |  |  |  | Reads moderately complex documents to obtain specific information. Reads moderately complicated charts, tables, graphs, or diagrams. Applies information to complete moderately complex tasks. | Reads loan applications and supporting documents to determine approval or denial. Reads resumes of job applicants for information about their backgrounds and skills in preparation for serving on an interview panel. |
| 2 |  |  |  |  | Reads instructions for new building security procedures to determine that instructions to employees are complete and accurate. Reads and follows instructions to process forms for an annual inventory. |
| 1 |  |  |  | Reads routine correspondence or materials. Reads simple charts, tables, graphs, or diagrams. Applies information to complete routine or simple tasks. | Reads and follows instructions to complete own time and attendance report. Reads and understands office memoranda and electronic mail. Reviews documents of incoming shipments to determine the shipper and contents. |
| **Interpersonal Skills** |
| 5 |  |  |  | Establishes and maintains ongoing working relationships with management, other employees, internal or external stakeholders, or customers. Remains courteous when discussing information or eliciting highly sensitive or controversial information from people who are reluctant to give it. Effectively handles situations involving a high degree of tension or discomfort involving people who are demonstrating a high degree of hostility or distress. | Patiently explains the benefits of controversial policy changes to upset individuals at a public hearing. Presents controversial findings tactfully to agency/corporation senior managers. |
| 4 |  |  |  |  | Maintains contact and rapport with individuals when counseling them on coping with ongoing work and family pressures. |
| 3 |  |  |  | Cooperates and works well with management, other employees, or customers, on short-term assignments. Remains courteous when discussing information or eliciting moderately sensitive or controversial information from people who are hesitant to give it. Effectively handles situations involving a moderate degree of tension or discomfort involving people who are demonstrating a moderate degree of hostility or distress. | Establishes cooperative working relationships with others so they feel free to ask for advice and assistance. |
| 2 |  |  |  |  | Courteously informs customers of the steps needed to resolve discrepancies or complaints. |
| 1 |  |  |  | Cooperates and works well with management, other employees, or customers during brief interactions. Remains courteous when discussing information or eliciting nonsensitive or noncontroversial information from people who are willing to give it. Effectively handles situations involving little or no tension, discomfort, hostility, or distress. | Familiarizes new employees with administrative procedures of the office. Talks with customers while they are waiting and makes them feel comfortable. |
| **Writing** |
| 5 |  |  |  | Composes documents or correspondence involving complex or technical information, and adapts writing to the audience’s level of knowledge. Proofreads or edits complex or technical writing of others. | Composes complex correspondence or other written work that is controversial and politically sensitive for external high-level officials. Explains, in writing, the application of laws, regulations, precedents, and practices covering one or more types of legal actions. Writes explanations of complex medical research in terms easily understood by lawmakers. Writes congressional testimony that presents highly sensitive and controversial agency/corporation policies. Writes and publishes articles in professional, industry, or scientific journals on program direction and content. |
| 4 |  |  |  |  | Develops information booklets for the public that convey non-technical instructions about a new safety program. Writes narrative of steps taken during restoration of an historical site for documentation purposes. Writes and edits new road tests and driver's license examinations. |
| 3 |  |  |  | Composes documents or correspondence involving non-technical information. Proofreads or edits brief, non-technical writing of others. | Composes a letter in response to a request for information about retirement benefits. Edits internal memos for format or grammatical, spelling, or typographical errors. Writes instructions for administering an examination. Writes a summary of recommendations discussed during a meeting with a customer for documentation purposes. |
| 2 |  |  |  |  | Revises form letters to notify applicants of missing information. |
| 1 |  |  |  | Composes documents or correspondence involving simple or routine information. Proofreads own work. | Communicates, in writing, weekly updates of assignment to project leader. |
| **Self-Management** |
| 5 |  |  |  | Sets goals and priorities for own work and coordinates activities and time lines with others to ensure project goals and deadlines are met. Takes initiative and seeks new or additional responsibilities and challenges. Continually applies great levels of effort, persistence, and autonomy toward achievement of goals. | Identifies and attends project management course and requests the responsibility of directing a new project. |
| 4 |  |  |  |  | Joins professional organization to stay abreast and to maintain contacts. Solicits feedback from co-workers on performance to identify needed areas of improvement. |
| 3 |  |  |  | Sets goals and priorities for own work to ensure deadlines are met. Willingly accepts new or additional responsibilities and challenges. Applies moderate effort, persistence, and autonomy toward achievement of goals. | Works with supervisor to identify ways to enhance skills to improve performance. Selects career enhancing activities from a list provided by supervisor to improve performance. |
| 2 |  |  |  |  | Attends word processing class that supervisor has made available to work group. |
| 1 |  |  |  | Adheres to goals and deadlines set by supervisor. Will take on new or additional responsibilities when asked. Applies limited effort, persistence, and autonomy toward achievement of goals. | Allocates time appropriately to complete assigned work by given deadline. |
| **Oral Communication** |
| 5 |  |  |  | Communicates, explains, or defends complex ideas or information clearly and adapts to the audience’s level of knowledge. Thoughts are extremely well organized. Actively listens to others and clarifies communications. | Informs industry of agency/corporation's research programs, goals, and technical achievements by presenting at national conferences. Orally justifies controversial decisions, conclusions, findings, or recommendations to high-level management or policy officials. Represents the agency/corporation by presenting oral arguments in court or at administrative proceedings. |
| 4 |  |  |  |  | Facilitates focus groups with members of the local community to elicit feedback on the plans for a proposed park. Provides verbal guidance to individuals on new tax laws. |
| 3 |  |  |  | Communicates or explains moderately complex ideas or information clearly. Thoughts are well organized. Listens to others, and recognizes potential miscommunications. | Describes the organization’s programs and services to individuals or groups within the community. Orally presents a summary of new regulations affecting the agency/corporation's mission to the work unit. |
| 2 |  |  |  |  | Provides oral reports of project status during weekly project team meetings. |
| 1 |  |  |  | Communicates basic ideas or information clearly. Thoughts are fairly well organized. Listens to others and responds appropriately. | Orally explains nontechnical procedures to customers. Verbally provides routine information to the public about a museum's hours of operation, location, or exhibition dates. |
| **Teamwork** |
| 5 |  |  |  | Coordinates group’s work efforts and monitors progress toward attaining team goals. Facilitates or leads group discussions, and information sharing. | Coordinates assignments for project team members based on their project interests, strengths, and competing workloads. Directs and coordinates project team members in preparing marketing presentation for potential new customer. |
| 4 |  |  |  |  | Builds on the ideas of others to foster cooperation. Identifies and emphasizes common goals to promote cooperation among project team members from diverse backgrounds and organizations. Works cooperatively with others on search and rescue mission. |
| 3 |  |  |  | Cooperates with others to establish priorities and develop work plans. Contributes to group discussions, and information sharing. | Jointly evaluates job applicants as member of a selection panel. Solicits input from others in a reorganization task force to consider different perspectives. |
| 2 |  |  |  |  | Works with project team members to summarize progress in preparation for client briefing. |
| 1 |  |  |  | Cooperates with others to complete routine tasks. Attends team meetings, and shares information when asked. | Works with project team members to organize background information materials. |
| **Planning and Evaluating** |
| 5 |  |  |  | Establishes organization/work unit needs and priorities and develops strategies to achieve multiple short-and long-term goals, including directing and monitoring work, and determining and allocating resources. Monitors and evaluates organization/work unit performance. Coordinates work activities with other organizations or parts of the organization. | Develops both immediate and long-range diversity plans for an entire agency/corporation. Evaluates the progress of alternative fuel suppliers and vehicle manufacturers in carrying out legislative mandates through program reviews, reports, and site visits. Plans and manages long-range research and development projects to achieve more energy-efficient and cost-effective chemical reaction technologies. |
| 4 |  |  |  |  | Develops an agencywide/ corporationwide plan for systems modernization. Revises the research and development plan for an energy conservation program based on annual evaluation. |
| 3 |  |  |  | Establishes project requirements and priorities and develops strategies, including coordinating work requirements and project resources, to achieve short- or long-term goals. Monitors and evaluates project activities and outcomes. Coordinates work with employees involved in other projects in the work unit. | Assesses case decisions completed by others to develop a strategy for improving the quality review process. Modifies project goals to conform to newly released budget and scheduling constraints. Plans project meeting to identify skills needed, determine assignments, and establish priorities. Plans and manages a short-term project to develop a method for customers to provide feedback on-line. |
| 2 |  |  |  |  | Develops a plan for collecting employees' opinions within the work unit. Plans interview schedule to gather needed information in the proper sequence. |
| 1 |  |  |  | Organizes work according to established project strategies. Assesses own work products and monitors progress against assigned goals. Coordinates work with other employees on the project team. | Prioritizes and schedules own assignments for the upcoming week. |
| **Decision-making** |
| 5 |  |  |  | Identifies and evaluates alternatives, and makes sound and timely decisions, even in uncertain situations. Decisions involve complex issues, and impact the work and outcomes of an organization. Makes most decisions with little or no supervisory review. | Makes decisions whether to halt an operation based on findings during safety inspection. |
| 4 |  |  |  |  | Determines what agency/corporation information to release to the media at a press conference. Examines multiple policies and reviews precedent cases to make a decision about a long-term disability benefits case. Selects vendor to be used by entire agency/corporation for furniture and equipment moves. |
| 3 |  |  |  | Evaluates alternatives, and makes sound and timely decisions, when multiple courses of action are possible. Decisions involve moderately complex issues, and impact the work and outcomes of a work unit. Makes most decisions with supervisory review only at the final stage. | Applies rarely used policies to arrive at appropriate purchasing decisions. Determines changes that need to be made in organizational programs by reviewing customer survey results. |
| 2 |  |  |  |  | Determines if an individual has met special licensing requirements through a review of application materials. Determines validity of supporting documents for loan application based on pertinent laws and procedures. |
| 1 |  |  |  | Determines if an individual has met special licensing requirements through a review of application materials.  | Determines validity of supporting documents for loan application based on pertinent laws and procedures. |
| **Arithmetic** |
| 5 |  |  |  | Uses advanced mathematical formulas or equations involving many different arithmetic operations. Manipulates complex numbers and works with large sets of numbers. | Determines long-term salary expenses for agency/corporation budget by calculating projected raises and expected attrition. |
| 4 |  |  |  |  | Calculates the value of office computer equipment taking into account depreciation over time. |
| 3 |  |  |  | Performs moderately complex arithmetic operations. Works with fractions, decimals, percentages, and averages, and with medium-sized sets of numbers. | Calculates employment attrition for office to develop staffing plan. Calculates disputed claim rates. Calculates health insurance premium payments made over multiple years. Computes costs to include in statement of work for a procurement request. Tallies responses to surveys and calculates averages. |
| 2 |  |  |  |  | Prepares itemization of expenditures to complete travel voucher. Verifies itemization of expenditures submitted on travel voucher. |
| 1 |  |  |  | Performs basic arithmetic operations such as addition, subtraction, multiplication, and division. Works with whole numbers and with small sets of numbers. | Reviews number of hours reported on work reports to ensure that all hours are allocated. Tallies telephone calls completed to document work accomplished. |
| **Flexibility** |
| 5 |  |  |  | Adapts to continuous, significant, sudden or permanent changes or setbacks affecting numerous programs or priorities. Makes immediate adjustments in situations where conditions change frequently, or availability of information is limited, unpredictable or sporadic. | Changes tactics during a raid due to new intelligence information. Makes adjustments to evacuation plans during a chemical hazard spill in congested area. |
| 4 |  |  |  |  | Refocuses preparation for a legal case in response to new information. Revises case strategy during hearing to address unforeseen testimony. |
| 3 |  |  |  | Adapts to significant, expected, or temporary changes affecting project work or deadlines. Adjusts quickly in situations where conditions sometimes change, or a moderate amount of information is available. | Gives impromptu overview of program area for unexpected visiting officials. Rearranges logistics for awards ceremony to accommodate unexpected attendance overflow. |
| 2 |  |  |  |  | Accommodates changes in visiting official's itinerary by modifying scheduled agenda. Adjusts ceremony agenda due to late arrival of key speaker. |
| 1 |  |  |  | Adapts to minor or temporary changes affecting own assignments or work schedule. Adjusts work activities appropriately in situations where a substantial amount of information is provided. | Reschedules meetings due to absence of co-worker. |
| **Problem Solving** |
| 5 |  |  |  | Uses logic to identify alternatives to solve complex or sensitive problems. Anticipates problems, and identifies and evaluates potential sources of information and generates alternatives to solve problems where precedents do not exist. | Provides precedent setting solutions to pay problems that have not been encountered previously. |
| 4 |  |  |  |  | Resolves claim by applying obscure laws or legal decisions. |
| 3 |  |  |  | Uses logic to identify alternatives to solve moderately difficult problems. Identifies and solves problems by gathering and applying information from a variety of materials or sources that provide several alternatives. | Solves pay questions by researching precedent case decisions. Suggests review process for work reporting procedures to reduce errors due to the use of unauthorized project codes. |
| 2 |  |  |  |  | Takes action by contacting vendor concerning goods that arrived damaged. |
| 1 |  |  |  | Uses logic to identify alternatives to solve routine problems. Reacts to and solves problems by gathering and applying information from standard materials or sources that provide a limited number of alternatives. | Fixes simple problems when printer or photocopy machine malfunctions. |
| **Reasoning** |
| 5 |  |  |  | Interprets or analyzes highly complex information to discern patterns, trends, and relationships and to draw conclusions by applying rules that involve many steps. | Analyzes public health data to determine the content of a nationwide health campaign. Determines trends in economic indicators to forecast consumer spending. Evaluates proposals for scientific merit, technical feasibility, and relevance to program goals. Interprets results of a laboratory experiment for a scientific publication. |
| 4 |  |  |  |  | Conducts detailed analysis of work processes to determine organizational staffing requirements. |
| 3 |  |  |  | Interprets or analyzes moderately complex information to make inferences or draw conclusions by applying rules involving a moderate number of steps. | Reviews training brochures to evaluate benefits and costs of different spreadsheet courses and to determine which course would best meet the work unit's needs. Reviews previous investigative plans to determine which steps are applicable to a current criminal investigation. |
| 2 |  |  |  |  | Applies guidelines to determine occupational classification of a new position based on job duties. |
| 1 |  |  |  | Interprets or analyzes simple information to arrive at answers to problems by applying rules involving a few steps. | Determines if job applicant’s course titles meet specified educational requirements. |
| **Information Management** |
| 5 |  |  |  | Anticipates and identifies information needs; gathers information from many sources; devises methods of organizing complex or technical information for which there is no precedent, and maintains complex and/or large information systems. | Determines a system of organizing and retaining new policy information for documentation purposes in anticipation of new legal requirements. |
| 4 |  |  |  |  | Gathers and integrates information from all offices within the agency for media briefing and national press release. Identifies requirements for a new agencywide/corporationwide database to organize investigative case data. Maintains multi-agency database of standard personnel information. |
| 3 |  |  |  | Identifies information needs; gathers information from several sources; organizes and maintains moderately complex information, using general guidelines or precedents. | Determines information to be gathered in an employee satisfaction survey. Determines questions to ask end users to gather information on system requirements. Develops a system to track in-coming and out-going correspondence. Gathers information on program history from agency/corporation library. Identifies topics on which employees need information and includes related articles in agency/corporation newsletter. Provides input regarding data elements needed in new correspondence tracking system. |
| 2 |  |  |  |  | Identifies work assignment issues about which supervisor needs to be informed. |
| 1 |  |  |  | Gathers information from one or two sources identified by others; organizes and maintains routine information using clearly outlined guidelines. | Adds, retrieves, and removes records from filing system. Arranges new information in database according to previously established guidelines. |
| **Customer Service** |
| 5 |  |  |  | Develops and maintains relationships with customers with diverse needs. Provides technical or complex information about products and services. Anticipates and assesses customers’ needs and identifies or tailors products and/or services to meet their needs. Ensures that all problems, questions, or complaints are resolved, including technical or complex issues. | Meets with different customer groups to plan program changes that incorporate new developments in the industry. |
| 4 |  |  |  |  | Holds focus groups with prospective customers to solicit input concerning the design of a new museum. |
| 3 |  |  |  | Maintains relationships with customers with diverse needs. Provides moderately technical or complex information about products and services. Assesses customers’ needs and identifies or tailors products and/or services to meet their needs. Resolves fairly complex or nonroutine problems, questions, or complaints; directs the most complex problems, questions, or complaints to the appropriate person. | Conducts customer surveys to gather information on product quality and customer satisfaction. Responds to customer requests for specific information that is not covered by standard materials. |
| 2 |  |  |  |  | Answers employee questions about travel procedures by providing them with an explanation of the process, examples of completed forms, and contact names. Initiates calls to customers who have provided incomplete information to ensure that the work requested is not delayed. |
| 1 |  |  |  | Has brief contact with customers with limited needs. Provides routine information about products and services. Provides standard products or routine services to customers. Resolves simple problems, questions, or complaints; directs complex or nonroutine problems, questions, or complaints to the appropriate person. | Notifies customer of minor changes in project schedule to keep customer informed. Provides general information about the application forms to job applicants. |
| **Creative Thinking** |
| 5 |  |  |  | Is innovative in developing or modifying theories, applications, systems, products, or services; new insights have a significant impact on others. | Designs an innovative product line that creates a new customer market. |
| 4 |  |  |  |  | Develops a new system for disseminating information to external customers at a lower cost. |
| 3 |  |  |  | Is innovative in developing or modifying products, services, or processes to perform work activities; new insights have a moderate impact on others. | Develops a new method for disseminating information to staff in the field. -Recommends changes to the delivery of a product that reduces storage costs for an agency/corporation. |
| 2 |  |  |  |  | Revises procedures for document review within the work unit to reduce approval time. |
| 1 |  |  |  | Is innovative in finding alternative ways to perform work activities; new insights have a limited impact on others. | Suggests changes to individual work procedures within existing guidelines to improve efficiency. |
| **Mathematical Reasoning** |
| 5 |  |  |  | Applies complex mathematical or statistical concepts and formulas to solve problems that are atypical. Develops mathematical or statistical models when current approaches are inappropriate or inadequate. | Develops a model or theory to explain the observed relationships among variables. Performs cost benefit analysis of proposed regulatory changes on national health plan premiums to inform Congress of impact. |
| 4 |  |  |  |  | Designs cost benefit analysis to determine effectiveness of offering early-outs or buyouts. Selects high level statistical procedures to analyze workforce data from a nationwide survey. |
| 3 |  |  |  | Applies moderately complex mathematical or statistical concepts and formulas to solve problems that are somewhat unusual. Determines appropriate mathematical or statistical method to solve a problem. | Determines the appropriate statistical methods used to analyze agency/corporation survey data. Develops rents, rates, costs, or fees based on operating expenses. |
| 2 |  |  |  |  | Compares the cost of purchasing versus leasing office equipment. |
| 1 |  |  |  | Uses basic mathematical or statistical concepts and formulas to solve routine problems. Follows prescribed methods to find solutions. | Determines the size conference room needed for a seminar based on the number of participants expected and the equipment to be used. Determines the average time it will take customers to fill out a satisfaction survey. |
| **Technology Application** |
| 5 |  |  |  | Stays current and informed about changes in technology and identifies, selects, and applies technology to perform complex tasks. | Develops automated health benefit enrollment system for use by employees. |
| 4 |  |  |  |  | Applies current technology to modify interactive kiosks for use in informing the public about Federal jobs. Automates survey administration. |
| 3 |  |  |  | Identifies, selects, and applies appropriate technology to perform moderately complex tasks. | Places compiled workforce information into CD-ROM format. Uses graphics software packages to create conference presentations. Uses spreadsheet software to create charts for presentations. |
| 2 |  |  |  |  | Extinguishes vehicle fires or boat fires using appropriate equipment and supplies. Installs and configures commercial word processing software on individual computers. Uses an electronic microscope to examine evidence in a crime lab. Uses automated search systems to perform legal research. |
| 1 |  |  |  | Uses specified technology to perform routine tasks. | Changes voicemail greeting to notify callers that you will be away from the office. Operates radar to monitor vehicle speed within federally owned parks. Uses Local Area Network (LAN) to send e-mail. Uses a fax machine to send materials. |

 **Appendix 8**

**Competency Performance Assessment (Sample)**

|  |  |  |
| --- | --- | --- |
| **COMPETENCY** | **RATING** | **LEVEL DESCRIPTOR** |
| **Oral Communication** |  |  |
| Ability to communicate ideas, thoughts and facts orally. Speaking using correct grammar, appropriate body language, proper tone and inflection, recognizing non-verbal cues, and respecting the audience to effectively communicate ideas. |  | 1 – Difficulty communicating ideas orally.2 – Appropriately communicates most ideas.3 – Effectively communicates thoughts, ideas and facts orally.4 – Makes compelling oral presentations.5 – Makes dynamic oral presentations. |
|  |  |  |
| **Written Communications** |  |  |
| Ability to communicate ideas, thoughts, facts in writing. Ability/skill in using correct grammar, correct spelling, sentence and document structure, accepted document formatting, and special literary techniques to communicate a message in writing. |  | 1 – Difficulty communicating ideas in writing.2 – Appropriately communicates most ideas.3 – Generates compelling written documents.4 – Effectively communicates ideas and facts.5 – Generates dynamic written documents. |
|  |  |  |
| **Customer Service/Client Orientation** |  |  |
| Degree to which an employee attempts to, or meets customer expectations. Concern with performing the work to a level which satisfies customer needs. Includes appropriately reacting to customer demands. |  | 1 – Ignores customer requests.2 – Uses “quick fix” approach.3 – Meets customer needs.4 – Goes beyond customer expectations.5 – Committed to quality service. |

Georgia’s Flexible Succession Planning Model: Growing Tomorrow’s Leaders Today, 2005.

 **Appendix 9**

**Position Competency Profile**

**Job Title:**

|  |  |
| --- | --- |
| **Competency** | **Level Needed** |
|  |  |
| Reading |  |
| Interpersonal Skills |  |
| Writing |  |
| Self-Management |  |
| Oral Communication |  |
| Teamwork |  |
| Planning and Evaluating |  |
| Decision Making |  |
| Arithmetic |  |
| Flexibility |  |
| Problem Solving |  |
| Reasoning |  |
| Information Management |  |
| Customer Service |  |
| Creative Thinking |  |
| Mathematical Reasoning |  |
| Technology Application |  |
| Program Knowledge |  |