



Director Investment Banking Exercise

A report for:

Anonymous Candidate

Created 21st November 2023



Evidence-Based Interviewing

Interview Questions

Evidence-based interview questions, often referred to as behavioural interview questions, are designed to uncover specific examples of a candidate's past behaviour or experiences in order to predict their future behaviour and performance in a job. Instead of asking hypothetical or speculative questions, evidence-based questions delve into actual situations that the candidate has encountered, giving the interviewer concrete examples of how the candidate operates in various scenarios.

Typical evidence-based questions might begin with phrases like:

1. "Tell me about a time when..."
2. "Describe a situation where..."
3. "Can you give an example of..."

How to Use Them

1. **Focus on Competencies or Skills:** You should use the 4 Competencies defined by the Director Investment Banking Exercise and 'collect evidence' from the interview of how candidate has demonstrated them.
2. **Utilise the Questions:** We have designed questions to elicit 'stories' or examples that demonstrate these competencies. You should only need to ask one full question set and you should allow 10-12 minutes for each.
3. **Listen Actively:** When the candidate responds, listen carefully. Do not judge what is being said during the interview but aim to gather as much information as you can that relates to the behavioural indicators of each competency.
4. **Probe Further:** Ask the 'probing' or follow-up questions to delve deeper.
5. **Evaluate:** After the interview, evaluate the candidate's answers against the competencies provided. Look for patterns in behaviour, both positive and negative.

Benefits

1. **Predictive Value:** Evidence-based questions are more predictive of a candidate's future performance than traditional interview questions because they focus on real past behaviour.
2. **Fairness:** By standardising the questions based on desired competencies or behaviours, all candidates are measured against the same criteria, which can reduce bias.
3. **Depth of Understanding:** These questions provide a deeper understanding of a candidate's experiences, how they think, and how they act in specific situations.
4. **Gauge Cultural Fit:** Through real-life scenarios, interviewers can better judge if the candidate's behaviours that align with the role or a company's culture.
5. **Reduced Mis-Hires:** By gaining insight into actual past behaviours, employers can make more informed hiring decisions, potentially reducing the cost and disruption of mis-hires.

How To Use This Report

To get the most from your interview, it is worth familiarising yourself with three models: STAR Model, ORCE Model & our Rating Scale.

STAR Model

The structure of the interview questions provided are based on the STAR model. This encourages you to collect a complete example (i.e., beginning, middle and end). During the interview you may wish to ask some of your own probing questions, and we recommend using this model as a guide, as it will help you create effective questions.

Typical STAR questions:

- **S = Situation:** What was the situation? What were the circumstances or context?
- **T = Task:** What were you trying to achieve? What was your task?
- **A = Actions:** How did you approach it? What did you do? Who did you involve? What challenges did you face, and how did you overcome these? What else did you do?
- **R = Results:** What was the outcome? How did you establish the benefit of what you did?

You should aim to spend more time asking 'Action' questions as these are the ones that typically produce behavioural responses. Thus they are more helpful to establish if the candidate possesses the competencies or skills, you are looking for.

ORCE Model

The ORCE model is a systematic approach to assess behaviours, especially used in the context of evidenced-based interviewing. The acronym stands for Observe, Record, Classify, and Evaluate. Here's a brief overview of how to use each step:

Step	Purpose	How to
Observe	Actively listen and watch for non-verbal cues as candidates share their experiences and examples.	During the interview, focus intently on the candidate's answers, noting not only what is said but how it's communicated. Pay attention to body language, tone, and other non-verbal cues that might give deeper insights into the candidate's experiences and emotions. This can help you know when to ask probing questions.
Record	Document candidates' responses to evidence-based questions for later analysis.	Use structured note-taking techniques to jot down key points or standout comments from the candidate. This could involve using a standardised form or digital tool where interviewers can quickly note down candidate examples, results, and other pertinent details.
Classify	Group the documented responses into categories that align with the competencies or skills you're assessing.	After the interview, review your notes and categorise the candidate's behaviours or actions based on the competencies in question. For instance, if you're looking for evidence of building relationships or collaborating, you'd group the responses under the Purposeful Engagement competency.
Evaluate	Determine the candidate's suitability for the role based on their responses, matched against the desired competencies or behaviours.	Reflect on the classified responses in comparison with what is desired or expected for the role. Rate the candidate's evidence against predefined criteria or rating scale provided. This step helps interviewers make objective assessments and reduces the risk of personal biases affecting the hiring decision.

Rating Scale

The Rating Scale below can be used to evaluate an individual's responses to the evidence-based questions. During the interview you should aim to establish a pattern of positive & negative evidence for each competency. The final rating you give should be a 'weighted' decision, based on the collective evidence you obtain for each competency. This is only done when the interview is completed.

1 - Significant Development	2 - Development	3 - Mixed	4 - Strength	5 - Significant Strength
A strong and dominant pattern of negative behaviour (in relation to the indicators)	A clear pattern of negative behaviour (in relation to the indicators), and little evidence of positive behaviour to weigh against this – none significant	Balanced evidence of both positive and negative behaviour (in relation to the indicators)	A clear pattern of positive behaviour (in relation to the indicators), and little evidence of negative behaviour to weigh against this – none significant	A strong and dominant pattern of positive behaviour (in relation to the indicators)

In the context of evidence-based interviews, the STAR & ORCE models provide a systematic approach to assess a candidate's potential fit for a position. By observing behaviours through past experiences, recording pertinent details, classifying them under relevant competencies, and evaluating against role requirements, interviewers can make more informed and objective hiring decisions.

Profile

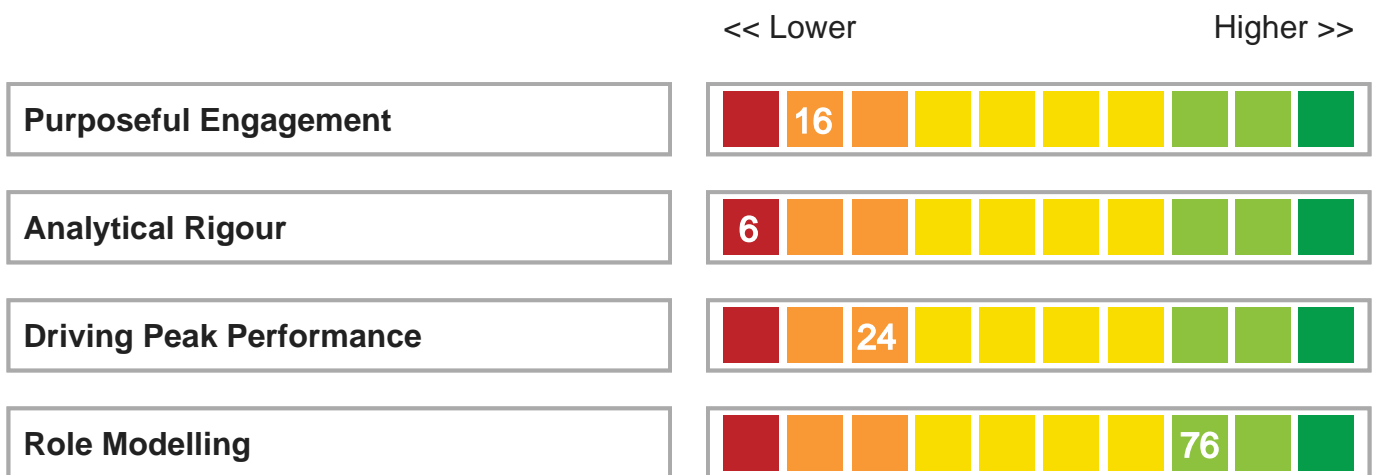
The following summarises Anonymous' performance on the Director Investment Banking Exercise. It provides:

- An overall score, expressed as a percentile based on an individual's responses to all questions.
- A percentile score for each of the competencies assessed



Director Investment Banking Exercise Competencies

The scores shown below are Anonymous' percentiles for each of the competencies.



Performance

The following provides a detailed interpretation of the responses chosen on the Director Investment Banking Exercise, by Anonymous Candidate, on 10/11/2023.

Role Modelling

Anonymous' responses suggest he/she/they:

- Strongly resonates with company values, serving as an exemplar in aligning actions with organisational goals
- Relentlessly focuses on maintaining superior quality and process in all work outputs
- Is commendably open about strengths and areas of development, leading by example in transparency
- Upholds and reinforces the importance of professional conduct, setting a benchmark for peers

Evidence-based Interview Questions

1. Share an experience where you had to lead a project or initiative that closely aligned with the company's core values and goals.

- What was the initiative and its significance relative to company values and goals? [Situation & Task]
- How did you ensure your commitment was visible and genuine throughout the process? How did you keep the team aligned and motivated around these values? Were there any moments of contention or misalignment, and how did you address them? [Actions]
- What was the impact of your leadership on the project's outcome and the broader company culture? [Results]

2. Reflect on a time when you had to acknowledge your limitations or mistakes in a professional context.

- What was the situation, and what led to the realisation of your limitation or error? [Situation & Task]
- How did you approach this acknowledgment, especially if it was in front of team members or stakeholders? How did you communicate your development needs or areas of improvement? What steps did you take to rectify the situation or mitigate its impact? [Actions]
- What feedback did you receive after addressing your limitation? How did this experience influence your future actions or decisions? [Results]

3. Describe an instance where maintaining the highest standards of professional conduct was particularly challenging.

- What was the situation, and what made it challenging in terms of adhering to professional conduct, laws, or company principles? [Situation & Task]
- Walk me through your decision-making process during this situation. How did you ensure compliance with laws, regulations, and company principles? Did you seek guidance or collaboration from colleagues or legal teams? How did you communicate your decisions to relevant stakeholders? [Actions]
- What was the outcome of your decisions? Were there any repercussions or feedback? How did this experience shape your future approach to similar situations? [Results]

4. Describe an instance where maintaining the highest standards of professional conduct was particularly challenging.

- What was the situation, and what made it challenging in terms of adhering to professional conduct, laws, or company principles? [Situation & Task]
- Walk me through your decision-making process during this situation. How did you ensure compliance with laws, regulations, and company principles? Did you seek guidance or collaboration from colleagues or legal teams? How did you communicate your decisions to relevant stakeholders? [Actions]
- What was the outcome of your decisions? Were there any repercussions or feedback? How did this experience shape your future approach to similar situations? [Results]

Purposeful Engagement

Anonymous' responses suggest he/she/they:

- Engages with colleagues and stakeholders, but can focus more on consistent personal support and authentic interactions to nurture trust
- Participates in team activities, with potential to drive more inclusive discussions and actively involve diverse perspectives
- Communicates main ideas, with opportunities to refine details and delivery for increased clarity and confidence
- Engages in negotiations with a focus on immediate concerns, and can work on broader perspectives and maintaining equanimity during discussions

Evidence-based Interview Questions

1. Discuss a situation where you had to establish trust with a sceptical senior stakeholder or client.

- Who was the stakeholder or client? What made them sceptical? [Situation & Task]
- How did you engage with them? Why did you choose that approach? What actions did you take to demonstrate credibility and earn their trust? Were there any challenges or moments of doubt? How did you overcome these? [Actions]
- What was the eventual outcome of your efforts? How did this affect your relationship with the stakeholder or client moving forward? [Results]

2. Can you share an instance where you had to lead collaboration between your team and another team or department to achieve a mutual goal?

- What was the goal? What were the respective roles of the teams involved? [Situation & Task]
- How did you ensure effective collaboration and inclusivity throughout the project? Were there any challenges in getting everyone aligned and contributing fully? How did you navigate such challenges? [Actions]
- How would you evaluate the success of the collaboration? Were there any particular feedback or outcomes from the joint effort? [Results]

3. Describe a particularly challenging negotiation you spearheaded with a client, colleague, or senior stakeholder.

- What was the context of the negotiation? What were the stakes involved? [Situation & Task]
- How did you prepare for the negotiation? What strategies did you employ during the process? Were there any moments of tension or disagreement? How did you remain calm and ensure a productive discussion? [Actions]
- What was the resolution of the negotiation? How was your approach perceived by the other party or parties? [Results]

4. Describe a situation where you had to navigate a significant business challenge or change, relying heavily on your relationships and communication with both your colleagues and senior stakeholders.

- Can you provide some background on the challenge or change, and the stakeholders involved? Why was their buy-in and support crucial? [Situation & Task]
- How did you approach building trust and confidence with the various stakeholders? How did you foster collaboration within and across teams? How did you ensure your communication was clear, timely, and precise? Were there any negotiations involved, and if so, how handle these discussions? [Actions]
- What were the outcomes of your efforts? How did your approach impact the business challenge or change and the relationships with those involved? [Results]

Analytical Rigour

Anonymous' responses suggest he/she/they:

- May act without considering whose perspective is critical, indicating a potential to enhance analytical thinking
- Could benefit from deepening the transparency and defensibility of business decisions, especially those related to risk
- Shows a tendency to react to situations, rather than being proactive in searching for new opportunities
- May not yet fully identify the strengths and development needs for themselves or others in specific roles

Evidence-based Interview Questions

1. Describe a situation where you had to make a pivotal decision in an investment scenario.

- What was the context of the decision? What information was available to you? [Situation & Task]
- How did you approach your analysis? What additional perspectives or data did you seek? How did you weigh the potential risks and benefits? [Actions]
- What decision did you ultimately make, and how did you communicate the rationale behind it? What was the outcome and feedback from stakeholders? [Results]

2. Tell me about a time when you identified and pursued a new opportunity that wasn't immediately evident to others.

- What initially drew your attention to this opportunity? [Situation & Task]
- How did you evaluate its viability? What steps did you take to proactively drive it forward? Did you encounter any scepticism or resistance? How did you address this? [Actions]
- What was the result of pursuing this opportunity? How did it impact the bank or your clients? [Results]

3. Share an instance where you took steps to address a developmental need, either in yourself or in a team member, to better fit the role.

- What was the context? How did you come to recognise the developmental need? [Situation & Task]
- How did you address it? What was your strategy or plan? If it involved someone else, how did you provide feedback and support? [Actions]
- How did these efforts affect performance or outcomes in the subsequent period? Were there any noticeable improvements or changes? [Results]

4. Describe a situation where you had to navigate a significant business challenge or change, relying heavily on your relationships and communication with both your colleagues and senior stakeholders.

- Can you provide some background on the challenge or change, and the stakeholders involved? Why was their buy-in and support crucial? [Situation & Task]
- How did you approach building trust and confidence with the various stakeholders? Were there any particular strategies or actions you used to foster collaboration within and across teams? How did you ensure your communication was clear, timely, and precise? Were there any negotiations involved, and if so, how did you maintain calmness and fluency in these discussions? [Actions]
- What were the outcomes of your efforts? How did your approach impact the business challenge or change and the relationships with those involved? [Results]

Driving Peak Performance

Anonymous' responses suggest he/she/they:

- Occasionally sets clear targets but might require assistance in monitoring and adapting as needed
- Displays proactive tendencies but might need more consistency, especially when facing specific challenges
- Has basic strategies for coping with pressures but could refine resilience in face of larger setbacks
- Manages to stay organised and calm in familiar situations but may falter when unexpected pressures arise

Evidence-based Interview Questions

1. Tell me about a time when you set a particularly ambitious target for yourself or your team in the face of significant challenges.

- What was the background, and what prompted you to set such a target? [Situation & Task]
- Describe the steps you took to monitor and guide progress towards this target. How did you ensure team alignment with the objective? What measures did you put in place to adapt to changes? How did you handle resistance or hesitation from stakeholders? [Actions]
- What was the outcome of your efforts? How did it compare to the initial target? [Results]

2. Describe a situation where you had to take immediate action to address an unexpected challenge or delay.

- Can you detail the challenge or delay and its implications? [Situation & Task]
- Walk me through the steps you took in response. How did you prioritise tasks? What resources did you allocate? How did you communicate the situation and your action plan to stakeholders? What contingency plans did you consider or implement? [Actions]
- What was the outcome? Were there any subsequent feedback or reactions from stakeholders? [Results]

3. Share an instance where you faced significant pressure or a setback, and your resilience played a crucial role in managing the situation.

- Can you describe the pressures or setbacks in more detail? What were the stakes? [Situation & Task]
- How did you maintain your own and your team's morale during this time? Describe the strategies you employed to navigate the pressures. Did you seek external support or guidance? Were there any tools or methodologies you found particularly helpful? How did you prioritise tasks and allocate resources to ensure deadlines were met? [Actions]
- Reflecting on the situation, how would you evaluate the results? Were there any unintended positive outcomes or learnings from the situation? [Results]

4. Share an experience where you had to oversee a major project or initiative with tight deadlines and high expectations.

- What was the project or initiative, and why was it of paramount importance? How did you define the targets and ensure they were ambitious yet realistic? [Situation & Task]
- How did you go about setting and communicating these targets to your team and other stakeholders? In the face of challenges such as delays or quality concerns, how did you proactively address them? Were there moments of significant pressure or setbacks? How did you maintain resilience and ensure your strategies were in place to handle these challenges? Can you describe specific instances where you had to maintain an organised and calm demeanour, especially when dealing with these pressures or nearing deadlines? [Actions]
- Ultimately, what was the outcome of the project or initiative? How were the targets met, and was there feedback or lessons learned on the approach and execution? [Results]

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