



U · S · DEPARTMENT OF THE INTERIOR  
OFFICE OF SURFACE MINING  
RECLAMATION AND ENFORCEMENT  
**DIRECTIVES SYSTEM**

Subject Number:

PER-8

Transmittal Number:

282

Date:

10/14/86

Subject: UPWARD MOBILITY

Approval:

*Jed D. Christensen*

Title: Director

1. Purpose: To enable Department of the Interior (DOI) employees in dead-end professional and nonprofessional positions at GS-9 or below to compete for positions in other occupations having higher grade opportunities. As a part of that effort, and in conjunction with the Department Manual Chapter 370 DM 380, this issuance establishes the guidelines and criteria for the implementation of an Upward Mobility Program which will provide a means for the Agency to more effectively utilize the skills of employees and assist them to realize their full work potential through increased career opportunities and training.

2. Definitions.

a. Upward Mobility. A systematic effort to provide specific career opportunities for employees in grades GS-9 and below, or equivalent, who are in positions or occupational series which do not enable them to realize their full work potential.

b. Underutilized Employees. Employees whose present education, training or capability are not fully utilized in their present positions. These employees currently meet the Office of Personnel Management X-118 or X-118-C Qualification Standards for other positions which offer greater growth potential. An Upward Mobility vacancy announcement using the X-118 or X-118C Qualification Standards may be used to reach these employees.

c. Underdeveloped Employees. Employees whose education, training, or experience does not provide them with sufficient qualifying factors to meet requirements for higher level professional and paraprofessional jobs.

d. Upward Mobility Employees. Employees whose potential can be identified and developed through specialized training and work experience, thus enabling them to perform at a higher level than their present position requires. These employees require additional training and/or experience to meet the qualified requirements of the target position. The Department of the Interior/Office of Personnel Management Upward Mobility Training Agreement (370 DM 380, 2, Appendix 1) may be used to facilitate their planned development.

e. Trainee Position. Development or training positions which serve as the program entry point and are immediately between the employee's current position, prior to entering the program, and the established Upward Mobility target position. The purpose of a trainee position is to allow the employee to gain the skills necessary to qualify for a higher level position.

e. Target Position. The specific position for which a competitively selected employee is being trained and in which the employee will be placed after successful completion of the training period.

f. Agency. As used through this issuance, refers to the Office of Surface Mining Reclamation and Enforcement (OSMRE).

g. Full Performance Level. The grade level necessary to fully carry out the work of the organization and the level to which an employee may be promoted through successive noncompetitive career promotions under the Merit Promotion Plan. Full Performance Level refers to positions, not to individual employees.

h. Job Restructuring. The techniques of rearranging the way the work of an organizational segment is done by arranging tasks into jobs and linking lower-level positions with higher-skill occupations to develop a progression of training experience. This provides opportunities for employees with potential for advancement, who are in jobs with limited opportunities, to develop and advance within and across occupational lines.

i. Entry Levels. The lower grades or levels in the occupation or career ladder at which entry hiring is customary.

j. Personnel Office. The Headquarters or Field Personnel Office having primary responsibility for providing personnel management services.

k. Potential. The ability and desire to acquire and use skills and knowledges needed to successfully perform duties of a higher level.

### 3. Policy/Procedures.

#### a. Policy.

(1) The objective of the OSMRE Upward Mobility Program is to provide advancement or reassignment opportunities for employees, grades GS-9 and below, or equivalent, whose current positions have limited advancement potential.

(2) The Upward Mobility Program provides the opportunity for advancement in a different career field through formal and on-the-job training. Continued advancement is based on the trainee's satisfactory work performance to the full performance level of the position to which the employee is assigned. Employees promoted or reassigned to a position in a different series, upon satisfactory completion of the Upward Mobility training, will be eligible for further career progression.

(3) Upward Mobility Program employees occupying positions covered by a formal training agreement will be carried in separate competitive levels and will be accorded protection during a reduction in force.

b. Responsibilities.

(1) Director, Office of Surface Mining Reclamation and Enforcement. The Secretary of the Interior has delegated full authority and responsibility for the Agency's Upward Mobility Program to the Director of OSMRE, including redelegation to responsible officials within OSMRE (370 DM 380.1.5E).

(2) Deputy Directors and Assistant Directors. These officials have Agencywide responsibility for:

(a) Establishing program and operational priorities through the allocation of personnel and financial resources needed to assure accomplishment of a meaningful Upward Mobility Program that is in direct support of Equal Opportunity action goals and timetables.

(3) Agency Upward Mobility Officer. The Agency's Personnel Officer is designated as its Upward Mobility Officer and is responsible for:

(a) Developing the Agencywide Program, including plans and policies, in cooperation with OSMRE's Equal Opportunity Officer;

(b) Reviewing and approving OSMRE plans and programs;

(c) Developing evaluation criteria to measure results of action plans;

(d) Evaluating OSMRE Upward Mobility plans and programs;

(e) Providing guidance and assistance to the Upward Mobility Coordinators, and;

(f) Furnishing periodic and special reports to the Director of OSMRE on the status of the Program, along with recommendations for Program improvement.

(4) OSMRE's Equal Employment Officer (EEO). The EO, Officer is responsible for:

(a) Ensuring that the Upward Mobility Program goals comply with and support the Affirmative Action Plan for OSMRE; and

(b) Providing staff assistance and advice to the Agency Upward Mobility Officer in the planning and operational phases of the Upward Mobility Program.

(5) Upward Mobility Coordinators. The Training Officer, Division of Personnel, is designated as the Upward Mobility Coordinator for Headquarters OSMRE staff. The Chief, Personnel Management Branch, Administrative Service Center (East) and (West), is designated as Upward Mobility Coordinator for their respective jurisdictions. The Upward Mobility Coordinators are responsible for:

(a) Advising, assisting and counseling managers, supervisors, employees and employee representatives on any aspect of the Upward Mobility Program;

(b) Publicizing the Program;

(c) Determining the training needs of managers, supervisors and employees throughout OSMRE regarding the Upward Mobility Program and taking action to see that those training needs are met; and

(d) Ensuring that all supervisors who have been assigned Upward Mobility trainees are meeting their responsibilities;

(6) Managers and Supervisors. Managers and supervisors are responsible for:

(a) Familiarizing themselves with the content, objectives and procedures of the Upward Mobility Program;

(b) Identifying unencumbered positions for Upward Mobility assignments;

(c) Providing career counseling for their employees as appropriate;

(d) Contacting the OSMRE Upward Mobility Coordinator for assistance in counseling employees on Upward Mobility opportunities and related matters;

(e) Making final selection of Upward Mobility trainees;

(f) Evaluating the trainee's performance at the conclusion of each major assignment.

(7) Employees. Employees are responsible for:

(a) Reviewing their own education and work experience to establish career goals;

- (b) Offering suggestions to improve the Program;
- (c) Seeking assistance from their supervisors or the OSMRE Upward Mobility Coordinator when necessary; and
- (d) Being aware of, and applying for, Upward Mobility vacancies.

c. Procedures.

(1) Use of Upward Mobility Program. The number of Upward Mobility Trainee Positions depends on:

- (a) The expected availability of a target position for the trainee upon successful completion of the Program; and
- (b) The hiring office having funds to pay for all costs related to the trainee's employment.

(2) Authority. This Program is based on the Equal Employment Opportunity Act of 1972 (P.L. 92-261); Executive Order 11478; Title 5, Chapter 41 of the United States Code; and, the Department of the Interior Upward Mobility Training Agreement as set forth in Part 37 DM 38 of the Departmental Manual.

(3) Employee Eligibility. The Upward Mobility Program covers any OSMRE employee who:

(a) Is in a current position classified at one-grade intervals, GS-9 or below, or equivalent, which does not have a career ladder beyond GS-9 or Wage Grade equivalent;

(b) Has had current, continuous employment with the Department of the Interior for a period of one year;

(c) Is capable of advancing to a position that better utilizes the individual's qualifications, abilities and potential;

(d) Is performing at an acceptable level of performance and whose current record is satisfactory;

(e) Is serving under one of the following types of appointments:

- 1 Career or career-conditional appointment;
- 2 Temporary appointment with eligibility for permanent appointment;
- 3 Veterans' Readjustment Appointment or Selective Placement Program; and

4 Excepted appointment under Schedule A-213.3102(u) for severely handicapped persons;

(f) Has a current performance rating that is equal to or better than the satisfactory level.

(4) Applications. All interested employees must submit a SF-171, Personal Qualifications Statement, and two current Upward Mobility Appraisal Forms when applying for an Upward Mobility vacancy. (See Exhibits 1 and 1a under section How to Apply.)

(5) Grade and Pay Retention.

(a) Each employee who enters an Upward Mobility position by taking a downgrade will be placed at a step as near as possible to the previous salary. If the previous salary falls between two steps, the employee will be placed at the nearest higher step. If the employee's current rate of pay exceeds the pay range of the lower grade, and employee's salary will be retained at the current level. (Where an employee's existing salary cannot be accommodated within the rate range of his/her new grade level, the employee will, while under pay retention, receive 50 percent of each increase in the maximum rate of basic pay for that grade. For example, an employee who took a downgrade in November 1985 from GS-318-7/5 (\$20,200 in FY 1986) to a GS-343-5 position is technically considered to be in step "0" at GS-5 because \$20,200 is more than the basic rate for any step in GS-5. He or she will then receive one-half of the annual comparability pay raise (3.5 effective January 1, 1985) for the maximum rate allowable for GS-5 (5/10). Accordingly, since that year's raise for GS-5/10 was \$640, this employee gets a raise of one-half of that (rounded to the nearest dollar), or \$320, and will make \$20,520. (These figures are for FY '85 and are for example purposes only.)

(b) Termination of Pay Retention. Pay retention will not terminate automatically after two years. Instead, it terminates when one of the following events occurs:

-The employee becomes entitled to a rate of basic pay equal to or higher than the retained rate (i.e., the pay rate for his/her new, lower grade "catches up" with his/her old rate); or

-The employee has a formal break in service of one workday or more; or

-The employee declines a "reasonable offer" of a position for which the rate of basic pay is equal to or higher than the retained rate; or

The employee is demoted for personal cause or at his or her own request.

(c) Failure to Qualify for Target Position.

Employees who voluntarily change to a lower grade to enter the Program, and subsequently are unable to qualify for the target position, will be reassigned to an appropriate position, equivalent to the grade level of the employee prior to entering the Program.

d. Supervisors will:

(1) Review only unencumbered positions to determine whether the positions as described can be filled through the Upward Mobility Program or whether they can be restructured and filled through the Program. Restructuring would involve establishing the position at the entry level of the occupation to provide an opportunity for an Upward Mobility applicant to gain entrance into a new career field.

If it is determined that an unencumbered position will be filled through the Upward Mobility Program, the originating office will so note in Item I of Standard Form 52, Request for Personnel Action, and forward the SF-52 through normal channels to the Personnel Office.

(2) Select candidates for entry level positions using the following procedures:

(a) Candidates will be rated through supervisory appraisals of the employee's potential (see Exhibit 1a) to successfully meet the performance requirements of the Upward Mobility position, as evidenced by self-development activities, work history, and recognition received through awards.

(b) Additional job-related elements such as reliability and dependability, communication skills, analytical ability, ability to work with others, and to work independently may also be used to evaluate potential. The supervisor with responsibility over the target job will select the candidate from the best qualified group.

(3) For each Upward Mobility trainee:

(a) Prepare a Training Plan (see Exhibits 2 and 2a for sample form) in collaboration with the Personnel Office and the trainee. The duration of the training program will be determined by the difference in the qualifications that the trainee brings into the Program (in terms of general and/or specialized experience) and the qualifications required for the target position as published in the Office of Personnel Management's Handbook X-118 or X-118-C. The Upward Mobility training to make up the difference in qualifications will then be credited at the rate of one month of training for two months of experience. For example, if a target position requires three years of general experience and one year of specialized

experience (total of four years) and the employee has no creditable qualifying experience, he/she would then need a minimum of two full years of training (six months of which must be creditable as specialized experienced). Assignments for trainees must include no less than 50 percent training time in the target occupation or closely related functions. Generally, most Upward Mobility Training Plans are for a one-year period. At a minimum, the Training Plan will:

1 be in writing;

2 identify the position held before entering the Program, the trainee position, the target position, and the full performance level of the target position by title, series and grade;

3 specify the formal training that will be undertaken, including the title(s) of the course(s), when the course(s) should be taken, the number of credit hours, and the name of the institution providing the course(s);

4 specify the on-the-job training assignments to be made, including details rotational assignments, etc., and the purpose and duration of each assignment;

5 specify provisions for quarterly evaluations by the supervisor and the trainee of both the formal and on-the-job training assignments. The summary evaluations will be kept in the trainee's training folder. Thirty days prior to the end of the training period, the supervisor will submit to the Personnel Office a summary evaluation of the trainee's acceptable level of performance. A SF-52, Request of Personnel Action, recommending the trainee's promotion or reassignment should accompany this final evaluation;

6 identify the supervisor for each assignment by position title; and

7 be signed by the supervisor, the trainee, and a representative of the Personnel Office to confirm that the Plan has been read and understood.

(b) Discuss with the trainee his or her progress, assessing it against the provisions of the Training Plan, and documenting the trainee's progress with a written evaluation at the end of each major training assignment or at three-month intervals, whichever occurs first. The evaluation must be forwarded to the Personnel Office. (See Exhibit 3 for sample).

(c) If at any time during the training period the trainee is not performing satisfactorily or requests release from the Program, the Upward Mobility Coordinator shall be



notified before any action is taken. If necessary, appropriate action will be initiated to return the trainee to a position equivalent in grade level to the position occupied before being selected under the Upward Mobility Program and for which the employee is fully qualified.

e. The Personnel Office will, upon receipt of the Standard Form 52:

(1) Assist the supervisor in restructuring the position, if necessary, and identify the knowledge, skills, and abilities required for effective performance in the position;

(2) Identify the trainee position, target position, and full performance level by title, series and grade level;

(3) Issue the vacancy announcement under the provisions of the Merit Promotion Plan (see Exhibit 1 for sample vacancy announcement);

(4) Accept applications, obtain appraisals, screen applications, convene ad hoc panels to rank candidates and refer the top ranking candidates to the selecting official;

(5) Assist the supervisor in tailoring the Training Plan to the developmental needs of the trainee;

(6) Approve the Training Plan;

(7) Assist in preparing an individual, written Training Agreement (see Exhibit 4 for sample) which specifies the following:

(a) position held before entering the Program, trainee position, target position and full performance level by title, series and grade;

(b) length of training period and anticipated training completion date;

(c) type of personnel action (reassignment, promotion, change to lower grade) to be processed upon completion of the training period;

(d) methods of terminating the Training Agreement by management or trainee; and

(e) quarterly evaluations by supervisor and trainee of both formal and on-the-job training assignments.

(8) Conduct an initial orientation with the Upward Mobility trainee and supervisor which covers the specifics of the Training Plan and Training Agreement regarding on-the-job and formal training evaluation and counseling, rotational assignments and assignment to the target position.

(9) Review written quarterly evaluations prepared by the trainee and supervisor and perform a post-evaluation follow-up with them to assure adherence to the Training Plan and Training Agreement.

f. Upward Mobility Trainees will:

(1) Participate in the preparation of the Training Plan.

(2) Assist in evaluating the training and work experience quarterly and at the end of the training program.

(3) Successfully complete the requirements of the Training Plan and Agreement in order to be placed into the target position.

g. Basic Principles.

(1) Underdeveloped employees. The program provides for "underdeveloped employees," who, by definition, do not meet the OPM Handbook X-118 qualification standards, to be competitively considered for an Upward Mobility position on the basis of the employee's potential to perform the duties of the target position. An individualized Training Plan will be prepared for each "underdeveloped" employee to provide the experience and/or education required to qualify the employee for the target position.

Before employees may be placed in either an Upward Mobility trainee or target position which has a minimum educational requirement specified in the X-118 qualification standards, they must have completed the required education prescribed for that particular series.

(2) Underutilized Employees. "Underutilized employees" may be selected for Upward Mobility positions. However, since "underutilized employees" already meet the qualifications standards for entry level Upward Mobility positions, individual Training Plans are structured to maximize developmental experiences leading to the target position.

(3) Competition Between Underdeveloped Employees and Underutilized Employees. Both "Underdeveloped" and "Underutilized" employees may compete for the same position, on the basis of their potential to perform in the target position.

(4) Although experience/education qualifications requirements frequently can be circumvented using an individualized Upward Mobility Training Plan, the OPM time-in-grade requirements to move to a higher grade (i.e., promotion) must be satisfied.

(5) Promotion into an Upward Mobility Trainee Position. "Underdeveloped employees" may not be promoted into the Program, but instead are laterally reassigned or may accept a voluntary downgrade to the trainee position. The primary reason for this practice is that "underdeveloped employees" do not meet the qualification requirements for the higher grade positions. If they are promoted into the Program and do not successfully complete their Training Plans, they would have to undergo an adverse action to return them to the original grade held prior to entering the Program.

On the other hand, "underutilized employees" fully meet the qualification requirements of the Upward Mobility position and, if they meet the time-in-grade requirements, may be promoted into the Program.

(6) Grade Levels for Upward Mobility Trainees and Target Positions. Most trainee positions are filled at the entry levels common to the occupation and the career ladder of the target occupation. For example, most nonprofessional positions will be filled at the GS-3/4/5 levels, whereas most professional positions will be filled at the GS-5/7 levels.

For nonprofessional positions (one-grade interval jobs), the target position will be one grade higher than the trainee position. For professional positions (two-grade interval jobs), the target position will be two grades higher than the trainee position.

(7) Full Performance Level of Upward Mobility Positions. The grade of the target position is normally obtained upon successful completion of the Upward Mobility Program. The grade of the full performance level of the Upward Mobility occupation is that to which the incumbent eventually may be promoted noncompetitively. The grade of the full performance level usually is higher than the grade of the Upward Mobility target position.

(8) Moving Expenses to a New Duty Station. Any employee selected for the program required to change duty station to participate in the program will be reimbursed for moving expenses to the full extent authorized by law and regulations.

4. References.

a. Part 370 DM 380;

b. Executive Order 11478: Title 5, Chapter 41, of United States Code. Public Law 92-261.

5. Effect on Other Documents. This directive supersedes the OSMRE Upward Mobility Directive, dated January 25, 1983.

6. Effective Date. Upon issuance.

7. Contact. Training Staff, Personnel Office, (202-343-8223).

"SAMPLE"

UPWARD MOBILITY OPPORTUNITY

TARGET POSITION:

Program Analyst, GS-345-7

FULL PERFORMANCE:

Program Analyst, GS-345-9

BRIEF STATEMENT OF DUTIES

As a trainee, review existing forms to eliminate unnecessary forms to eliminate unnecessary and obsolete ones, and work with program officials in the development of new forms. Ensures that information requested on Agency forms is relevant to program needs and does not violate Privacy Act requirements. Participates as a member of analytical team in organization and system reviews. Evaluates proposals for the acquisition of office equipment for the effective and efficient paperwork management. Performs special studies on internal management concerns that may involve budgeting of procedural recommendations.

QUALIFICATIONS

Specific experience is not required for entry into this position. The candidate selected must possess an overall background of sufficient level and quality to clearly indicate potential ability to perform successfully in the target position. Factors to be considered in this evaluation will be: performance, awards, experience, pertinent training, self-development, outside activities, learning ability, and potential for successful performance in the target position. Evaluation of the candidate's potential ability will be accomplished by utilizing the job element method which identifies general skills, knowledges, and abilities required for satisfactory performance in the target position. Evaluation of this potential will be based on appraisals from two persons, one from candidate's current supervisor and one from a person familiar with the experience and performance of the candidate. Experience not directly related to this position will be considered insofar as it would help the applicant perform the duties of the target position. The candidate's knowledges, skills, and abilities will be rated regardless of how they were acquired. It could be through volunteer work in civic associations, community activities, training, self-development, work experience, correspondence, schools, etc.

Specific job elements for evaluating the candidates for this position are as follows:

1. Reliability and dependability.
2. Timeliness and quality of work.
3. Ability to work and communicate effectively with others, both orally and in writing (one example of writing will be accepted).
4. Ability to reason and use sound judgment.
5. Ability to accept criticism and use it constructively.
6. Potential to provide clerical assistance and maintain records.
7. Adaptability, especially in adjustment to changes in policies and procedures.
8. Knowledge of the functions, processes and principles of management.
9. Skill in effective oral and written expression.
10. Knowledge of the development and implementation of paperwork management systems.

EVALUATION AND SELECTION PROCESS

Candidates applying under this announcement will be evaluated in accordance with the provision of the Agency Upward Mobility Program regarding their general knowledges, skills, abilities, and other characteristics. Applicants will be evaluated on their work performance, awards, experience, self-development, outside activities, appraisals, and other related documents to determine the best qualified candidates. The names of candidates adjudged best qualified will be referred to the selecting official.

TRAINING

An individual Training Plan will be developed for the trainee. The trainee may be scheduled to participate in training courses conducted by the Department, and will be given on-the-job training by his/her supervisor. The trainee must be willing to take appropriate formal training either during working hours or after-hours, depending on his/her developmental needs and must be willing and available to participate in training assignments in other offices, if necessary, to increase the skills and knowledges required for the position. The length of training

under the Training Agreement will make up the difference in qualifications from what the trainee brings into the Program (in terms of general and/or specialized experience) and the qualifications required for the target position as published in the Office of Personnel Management Handbook X-118. The on-the-job training may be extended if necessary to assure that the trainee has acquired the necessary skills and abilities to perform at a satisfactory professional level in the target position.

#### EVALUATION OF TRAINING

The selectee will be assigned to a "trainee" position at the GS-7 grade level while undergoing formal training for the target position. Evaluation of the trainee's performance and potential for continued satisfactory performance will be made by the immediate work supervisor during the training period. Progress evaluations will be made at the end of each major assignment, but not less frequently than at quarterly intervals. The evaluations will be kept in the trainee's Official Personnel Folder. Approximately 30 days prior to the end of the final training period, the trainee's performance and potential will be evaluated by the supervisor. This evaluation will be the basis for the successful candidate to be assigned to the target position.

The training may be terminated at any time by the trainee or by management: (a) the trainee may request termination of the Training Agreement for valid reasons with the approval of his/her supervisor and the Headquarters Upward Mobility Coordinator, Division of Personnel; (b) Management may request termination of the Agreement should the trainee fail to meet the satisfactory performance requirements or the provisions of the Training Plan at any time during the training program. Either request would result in the trainee being placed in a position commensurate with the duties and grade level occupied before entering the Program.

#### HOW TO APPLY

Applicants must submit a SF-171, Personal Qualifications Statement, and two (2) Qualification Appraisal Forms (to be completed by their present supervisor and one other responsible person knowledgeable about their experience and performance).

All forms should be forwarded to: Office of Surface Mining  
Division of Personnel,  
Room 5415-L  
1951 Constitution Avenue, N.W.  
Washington, D.C. 20001

Applications will be accepted from Department of Interior employees only.

In order to receive consideration, all applications must be received in this office no later than the closing date of this announcement. The appraisal forms must be received in this office no later than five (5) days after the closing date. Failure to receive the required appraisal forms may result in lower ranking during the evaluation process. For additional information concerning this career opportunity, you may contact the Division of Personnel on (202) 343-4167.



Applicant's Name: \_\_\_\_\_  
 Appraiser's Name/Title: \_\_\_\_\_  
 Organization/Address/Phone Number: \_\_\_\_\_

How did you gain knowledge of the applicant

Current Supervisor \_\_\_\_\_ Former Supervisor \_\_\_\_\_  
 Other (Specify) \_\_\_\_\_

The evaluation will be used as part of the rating process for the Upward Mobility trainee position of Personnel Management Specialist (Trainee), GS-201-5/7, in the Office of Surface Mining, and may be shown to the applicant upon request.

The following evaluation factors were derived from analysis of the job elements essential to perform the tasks required of a Personnel Management Specialist. These factors are considered general knowledge, skills, and abilities which are indicative of an individual's potential to perform in the position.

EVALUATION FACTORS	Excellent Potential	Above Average Potential	Average Potential	Fair Potential	No Potential	Unknown
<u>Factor 1</u>						
Reliability and dependability						
<u>Factor 2</u>						
Timeliness and quality of work:						
a. Ability to plan and organize work						
b. Ability to work under pressure						
c. Ability to complete work in an orderly fashion						
d. Ability to work independently without immediate and continuous supervision						

EVALUATION FACTORS	Excellent Potential	Above Average Potential	Average Potential	Fair Potential	No Potential	Unknown
<u>Factor 3</u> Ability to work and to communicate effectively with others, both orally and in writing (one example of writing will be required)						
<u>Factor 4</u> Ability to reason and to use sound judgment.						
<u>Factor 5</u> Ability to accept criticism and to use it constructively.						
<u>Factor 6</u> Potential to perform the work of a Personnel Management Specialist with normal supervision and potential to learn advanced personnel principles.						
<u>Factor 7</u> Adaptability, especially in adjustment to changes in policies and procedures.						
<u>Factor 8</u> Ability to interpret manuals, guidelines and written instructions.						
<u>Factor 9</u> Interest in the field of _____						
<u>Factor 10</u> Inclination to be curious, inquisitive, and think creatively.						
<u>ADDITIONAL REMARKS:</u>						

\_\_\_\_\_  
Signature of the Appraiser

\_\_\_\_\_  
Date

SAMPLE WORKING PAPER

\*PROPOSED TRAINING PLAN -- PERSONNEL MANAGEMENT SPECIALIST (Trainee), GS-201-5/7  
 HOME BASE: DIVISION OF PERSONNEL -- When dates are not shown, that time will be spent on OJT in the Division of Personnel.

(Information is to be transposed on Exhibit 2a.)

MAY	JUNE	JULY	AUG/SEPT	OCT	NOV	DEC/JAN	FEB	MAR	APR	MAY
CLASSIFICATION AND POSITION MANAGEMENT						EMPLOYEE/LABOR RELATIONS AND TRAINING				
						STAFFING				
5/9-20	--	Basic Classification, OPM		10/1-5	--	Basic Staffing, OPM	2/12-15	--	Adverse Actions, OPM	
5/24	--	EEO & Federal Employee, OPM		10/6-30	--	OJT-Staffing	2/18-22	--	Labor Management Relations	
6/1-3	--	Position Management, OPM		11/1-5	--	Processing PA, OPM			Departmental Division of LMR	
6/7-30	--	OJT - Classification		11/22-26	--	Personnel Assessment & Selection, OPM			Employee Benefits, OPM	
8/1-31	--	OJT & Factor Evaluation System, OPM		11/27-12/1	--	OJT-Staffing	2/25-29	--	OJT-Employee Benefits & LMR	
9/3-26	--	OJT - Classification		12/2-3	--	PA Review, OPM	3/1-5	--	LMR at Bureau Level	
				12/4-30	--	OJT-Staffing	4/6-30	--	OJT-Wage and Pay Administration	
				1/3-21	--	OJT-Staffing	5/1-30	--		
				1/22-30	--	Professional Writing, Department Training Center, Interior				

Register at University of ( )  
 for Public Personnel Management -  
 (Evening Session - Jan-May)

\*Leeway must be provided to allow for possible adjustments in dates and type of training; based on the availability of courses, cancellation of courses and the progression of the employee on OJT ASSIGNMENTS.



UPWARD MOBILITY TRAINING AGREEMENT

(Employee's Name)

Position held before entering program: Secretary, GS-318-6

Trainee Assignment: Assessment Specialist (Trainee), GS-301-5

Target Position: Assessment Specialist, GS-301-7

Full Performance Level: Assessment Specialist, GS-301-12

A selection for the above trainee position has been made under the Upward Mobility Program and we, the undersigned, agree that the following conditions apply:

1. The trainee must complete the prescribed training to the satisfaction of her supervisor. The training period will be for a period of 1 year.

The trainee agrees to participate in rotational training assignments in other offices (within Assessment and Collections and field offices) and formal training courses either during working hours or after hours, depending on her developmental needs as indicated in the Training Plan.

2. The supervisor will discuss the trainee's progress with her, assessing it against the provisions of the Training Plan and document the evaluation at the completion of each training assignment, or at 3-month intervals, whichever comes first. The trainee's progress will be discussed with her at that time and a copy of the documentation of this progress will be given to the trainee and a copy will be forwarded to the Upward Mobility Coordinator.

The trainee will evaluate all formal, informal, and on-the-job training during each training assignment or at 3-month intervals, whichever comes first; discuss the evaluation with her supervisor; and forward the documentation through her supervisor to the Upward Mobility Coordinator.

The Training Agreement may be terminated by the trainee or at her supervisor's request:

a. The trainee may request termination of the agreement for valid reasons with the approval of her supervisor and the Upward Mobility Coordinator.

b. Management may terminate the Agreement should the trainee fail to meet the satisfactory performance requirements or the provisions of the Training Plan at any time during the training program upon prior notice to the appropriate Upward Mobility Coordinator.

Either request would result in the trainee's being placed in a position commensurate with the duties and grade of the position occupied before being selected under the Upward Mobility Program.

4. The trainee understands that upon completion of all the provisions of the Training Plan, she will be eligible for promotion to the target position of Assessment Specialist, GS-301-7.

\_\_\_\_\_  
Trainee's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Supervisor's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Upward Mobility Coordinatir's Signature

\_\_\_\_\_  
Date