

DEPARTMENT OF THE INTERIOR  
**DEPARTMENTAL MANUAL**

Personnel

Part 370 DM Addition to FPM

Chapter 380 Upward Mobility

370 DM 380, 1.1

Subchapter 1. General Provisions.

1.1 Introduction. Each bureau and office is required by Public Law 92-261 and Executive Order 11478 to develop and implement a comprehensive Upward Mobility Program. The program which is an internal placement activity, will be coordinated by the bureau headquarters office with its field offices and is designed to enable the Department to more efficiently accomplish its mission through the maximum utilization of its employees; and to enable employees in grades GS-9 and below, or the equivalent, to realize full work potential by increasing career opportunities. This chapter presents guidelines and sets standards for use in planning, developing, and implementing Upward Mobility programs.

1.2 Scope. Upward Mobility programs will extend Departmentwide and will be operated in accordance with specific bureau guidance.

1.3 Authority. The Equal Employment Opportunity Act of 1972 (P.L. 92-261); Executive Order 11478; 5 U.S.C. 41; and 5 CFR Part 720.

1.4 Definitions.

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

Upward Mobility also occurs when an underutilized or underdeveloped employee, through merit promotion procedures and planned training, acquires the knowledges, skills, and abilities (KSA's) to move into an occupational series or position that has greater responsibility and promotion potential than the position held immediately prior to entering the program. Upward Mobility positions may be created within any of the occupational groups. An employee may move from a clerical to a technician or professional position offering greater growth potential, or from a technician to a professional position with an established career ladder.

(1) Underutilized employees - Employees whose present education, training, and capabilities are not fully utilized in their present positions. These employees currently meet the qualifications standards for other positions which offer greater growth potential.

(2) Underdeveloped employees - Employees whose latent 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 qualifica-

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tion requirements of the targeted position as outlined in Handbook X-118, or in an approved single-agency qualification standard. The use of the Upward Mobility Training Agreement will facilitate their planned development. (The Training Agreement is Appendix I to this chapter.)

B. Potential - The ability and aspiration to acquire and use skills and knowledges needed to successfully perform higher level work.

C. Job restructuring - The technique of rearranging the way the work of an organizational segment is done by arranging tasks into jobs, linking low to high skill functions to develop a progression of training and experience which will provide opportunities for employees in low-level jobs to develop and advance within and across occupational lines. Those implementing this program must be aware of the prohibition on training for an academic degree in order to qualify for a position for which the degree is a basic requirement, and of the prohibition on training an employee in a non-government facility. (Refer to 370 DM 312 - Position Management; and "Upward Mobility: Considerations for Program Planning and Development," an OPM (WED) publication.)

(1) Upward Mobility trainee positions - Developmental or trainee 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.

(2) Target positions - Specific positions for which competitively selected employees are being trained, e.g., Budget Analyst and Personnel Management Specialist. Without further competition, employees can be placed into the target position upon successful completion of training required to meet X-118 provisions.

(3) Training Agreement - The Training Agreement makes it possible to substitute intensive accelerated training for a portion of the normal qualification requirements under FPM Chapter 271, Subchapter 7. The Agreement also provides for the reassignment and/or promotion of an employee into a specific target position after successful completion of a planned program of training. (See Appendix I to this chapter.)

### 1.5 Responsibility.

A. The Secretary is the primary official responsible for leadership and support of Upward Mobility in the Department.

B. The Assistant Secretary - Policy, Budget, and Administration is responsible to the Secretary for staff planning and coordination, monitoring, and evaluation of Upward Mobility programs.

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C. The Director of Personnel is responsible to the Assistant Secretary - Policy, Budget, and Administration for coordinating and evaluating bureau programs and for providing guidance and technical assistance to bureaus.

(1) The Division of Employee Development, Office of Personnel (PPM), will provide coordination, guidance, and technical assistance to bureaus in planning, developing, and implementing their Upward Mobility programs. This includes working with bureaus to establish realistic goals and time schedules for implementation of the program, monitoring progress, and ensuring that the written individual Upward Mobility Plans are consistent with Departmental guidelines.

(a) The Departmental Upward Mobility Program Coordinator, Division of Employee Development (PPM), is responsible for developing guidelines and instructions in accordance with Office of Personnel Management requirements for use by managers, supervisors, and bureau Upward Mobility Program coordinators in implementing the Upward Mobility Program. In addition, the Departmental Upward Mobility Program Coordinator is responsible for providing technical assistance; for coordinating and maintaining a department-wide monitoring and evaluation system; and for being the Departmental liaison with bureau Upward Mobility Program coordinators, coordinators of special emphasis programs, and persons assisting in the program's implementation.

(2) The Division of Program Coordination and Evaluation, Office of Personnel (PPM), will evaluate Upward Mobility programs, along with other personnel management programs.

(3) The Division of Employment, Office of Personnel (PPM), will provide policy guidance, instructions and coordination for the development, implementation, and assessment of Bureau Federal Equal Opportunity Recruitment Program (FEORP) Plan Requirements.

D. The Director, Office for Equal Opportunity, is responsible for ensuring that all Upward Mobility programs facilitate compliance with the Bureau Affirmative Action Plans; for assisting bureaus through staff advice and counsel; and for assisting the Director of Personnel in ensuring the widest possible bureau implementation of Upward Mobility, consistent with bureau staffing and developmental needs as well as Bureau FEORP Plans.

E. Bureau and office directors are responsible for planning, developing, implementing, and evaluating an Upward Mobility Program within their organizations, including field offices. Bureaus must submit written records of their plans to the Director of Personnel, upon request.

F. Bureau personnel officers are responsible for operating the Upward Mobility Program in their bureau; for appointing a bureau Upward Mobility Program coordinator; for maintaining appropriate records on each Upward Mobility action in a manner similar to that required under the Bureau's Promotion and Internal Placement Plan; for providing adequate publicity about the program to managers, supervisors, and

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employees; for ensuring that all supervisors, who have Upward Mobility Program trainees working for them, receive orientation and instruction in their supervisory responsibilities in Upward Mobility; and for providing career counseling to employees in cooperation with supervisors and bureau Upward Mobility Program coordinators.

G. Managers and supervisors are responsible for providing opportunities for job restructuring in their offices and for monitoring participants' progress. In addition, managers and supervisors are responsible for becoming thoroughly familiar with the objectives and procedures of the Upward Mobility Program; for developing maximum potential and utilizing the skills of employees under their supervision, whether or not these employees are selected for the Upward Mobility Program; for assisting in the preparation of the individual development plan; and for meeting with all of those who are involved in the program such as the bureau personnel officer, Upward Mobility Program coordinator, personnel staffing specialist, position classification specialist, career counselor, and Upward Mobility Program trainee.

H. The Bureau Upward Mobility Program Coordinator is responsible for providing technical assistance and guidance to bureau personnel specialists, equal opportunity specialists, managers, supervisors, and employees on all aspects of the program; for providing staff work required for issuance and maintenance of program instructions and directives; and for ensuring that the objectives of the program and its implementation are in accordance with Office of Personnel Management requirements and Departmental and Bureau directives.

I. Other program personnel to be included in implementing the program include the following:

(1) Personnel Staffing Specialists, who analyze data essential to the identification of problems, target positions, job requirements, selection systems, and elements of career ladders.

(2) Position Classification Specialists, who have occupational skills and classification expertise to provide advice on job restructuring, identification of logical career paths, interpretation of standards, and writing of position descriptions.

(3) Budget and Finance staff, whose knowledge of the budget process can assist planners in estimating and accounting for dollar resources.

(4) Employee Development Specialists, who can identify appropriate train-

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ing sources and assist in developing meaningful developmental experiences, both formal and on-the-job.

(5) Career Counselors, who are available to render specialized advice to supervisors and program participants regarding specific occupational areas as well as assist in the development of individual career development plans.

J. Eligible employees are responsible for:

(1) Being aware of, and applying for, Upward Mobility vacancies.

(2) Offering suggestions for improvement of the Upward Mobility Program.

(3) Helping to develop their career plans, pursuing their career plans, and completing their training plans in a timely manner when selected into the program.

(4) Asking for help from their supervisors and other appropriate personnel when necessary.

(5) Participating in, being knowledgeable of and using results of their performance appraisals when participating in the program.

(6) Seeking and using all means of self-development available to them.

1.6 Eligibility for Upward Mobility. Eligibility for Upward Mobility Program positions is applicable to employees who:

A. Are employed in positions which are classified at GS-9 or below, or the equivalent, and who are in positions or occupational series which do not enable them to realize their full work potential and which do not provide significant promotion potential beyond their current grade level.

B. Have current, ~~continuous~~ employment with the Department, ~~for one year.~~

C. Are serving under a career, career-conditional, excepted career, excepted career-conditional, Veterans Readjustment Act, or Selective Placement Program appointment. Permanent Part-time employees are also eligible for participation.

D. Have a current performance rating that is equal to or better than the satisfactory level.

1.7 Consultation. As appropriate, employee organizations holding exclusive recognition and/or national consultation rights shall be consulted.

10/5/82 FPM-290

Replaces 5/27/76 FPM-203

FPM-374

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**1.8 Structuring Upward Mobility Programs.** The identification of target positions, specific positions for which Upward Mobility participants are trained, is one of the most important steps in the development of an Upward Mobility Program. The identification of such positions provides true career opportunities for trainees.

A. The individual who is planning the Upward Mobility Program needs to examine both the occupational areas tentatively considered that provide the best opportunity for Upward Mobility and the groups of employees who would benefit. Examination of potential occupational areas includes the asking of such questions as: Which areas are of central importance to the Department's purpose? For which areas is there long-range hiring potential? Which areas contain similar duties to other, possible lower level, career areas? Which already have some para-professional duties associated with them? Other questions may occur to planners based on unique characteristics of programs. (A skills survey could be used to point up the strengths and weaknesses among groups of employees in lower level positions.)

B. By examining in more detail both the occupational areas identified as having high potential and the group of employees who appear to lack career potential in current occupational areas, it is possible to define which positions would be most feasible to designate as target positions. It is these designated positions which will provide movement, in a reasonable period of time, to employees lacking career potential in their current positions and which will fulfill future agency staffing requirements.

**1.9 Reserving Upward Mobility Slots.** Once the target, developmental, and entry-level positions have been identified, a strategy must be employed to assure that the training and placement of Upward Mobility candidates actually occurs. It is recommended that bureaus secure ceiling slots by identifying and allocating vacancies for the program. Identification of specific target positions must be made before a vacancy occurs. Competition occurs to enter the position, but ultimate assignment to the target position occurs without competition, assuming that the training program is successfully completed.

**1.10 Relationship of Upward Mobility to FEORP.** Although FEORP is a recruitment program that assists management in locating and attracting qualified/qualifiable applicant(s) to such programs as Upward Mobility, it does not guarantee selection of minorities and women; it does, however, attempt to ensure that sufficient numbers of candidates are available for consideration for positions as they occur.

**1.11 Other Sources of Information.** Other sources of information related to Upward Mobility include FPM Letter 713-27 on Upward Mobility for Employees in Lower Level Positions; 370 DM 312 on Position Management; 370 DM 410 on Training; current Departmental Equal Opportunity Guidelines; "Upward Mobility: Considerations for Program Planning and Development," an OPM publication; FPM Chapter 335, Promotion and Internal Placement; FPM Letter 338-9, Elimination of Chapter 271, Revision of Guidance on Training Agreements and Superior Qualifications Appointment; FPM Letter 338-10, Revision of Instructions for Training Agreements Permitting Accelerated Promotions; FPM Chapter 536, Grade and Pay Retention; FPM Chapter 720, Affirmative Employment Programs; and OPM Handbooks X-118 and X-118C, Qualification Standards.

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Subchapter 2. Program Requirements.

2.1 Bureau Programs.

A. Each bureau is required to implement an ongoing Upward Mobility Program based on an Upward Mobility Plan. The program shall consist of the following phases:

(1) The planning phase shall consist of:

(a) Gaining support and resources from the bureau director and other top level managers and supervisors.

(b) Identifying staffing needs by reviewing employee turnover and changes in mission and program priorities to determine the kinds and numbers of present and anticipated vacancies, and when and how many of these vacancies can be filled via Upward Mobility.

(c) Determining which methods will be used (reaching underutilized employees via merit promotion procedures, job restructuring, bridge positions, position management, and the Departmental "Upward Mobility Training Agreement") to make opportunities available to employees.

(2) The program development and implementation phase shall consist of:

(a) Identifying and establishing target positions.

(b) Designating target positions by entry level and target grade.

(c) Announcing Upward Mobility opportunities for underdeveloped employees through merit promotion procedures. The vacancy announcement shall identify the position as an Upward Mobility opportunity, state the title, series, and grade of the target position, cover the duties of the target position, specify the eligibility requirements and selection criteria, specify the approximate length of training, indicate how and where to apply and identify targeted audience.

(d) Utilizing as appropriate, other vacancies for which underutilized employees are eligible as part of the Upward Mobility Program; such vacancies need not be identified as an Upward Mobility Program position prior to advertisement. When such vacancies are being advertised, they must be identified and treated as Upward Mobility Program positions.

(e) Assessing employee potential. Tools for assessing employee potential shall be job-related. They may consist of performance appraisals which show transferability of related knowledges, skills, and abilities to the target position; self-rating instruments which show motivation to assume more complex tasks and greater

9/12/86 FPM-360

Replaces 10/5/82 FPM-290

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responsibilities; tests (when permissible according to Departmental and OPM regulations); interviews which measure likelihood of success in meeting target job requirements; and assessment centers.

(f) Establishing appropriate training requirements and outlining an individual development plan for each participant. On-the-job training, formal course work, and individual study are options which should be considered in developing each plan.

(g) Providing career counseling to program participants. Responsibility for employee counseling in connection with the Upward Mobility Program should be assigned to a specific person, preferably a member of the personnel/training offices. The primary role of the career counselor is to provide the employees with the opportunity to explore their career interests and to assist them in formulating realistic career plans. Supervisors also assist in career counseling during their daily activities with program participants.

(h) Evaluating the progress of the participant, at least quarterly or after each assignment.

(i) Ensuring that all supervisors who have Upward Mobility trainees working for them receive orientation and instruction in supervisory responsibilities in Upward Mobility. Training will include: the supervisor's role in use of career development plans; techniques for job restructuring; relevant elements of the Upward Mobility Plan; counseling and coaching; and the philosophy and goals of Upward Mobility.

B. Each bureau is required to prepare an Upward Mobility Plan and submit it to the Director of Personnel for approval. Any bureau which would like to submit additions or amendments to their original plan may submit it at least six weeks before the beginning of the fiscal year. Bureau proposals to revise approved plans should be submitted to the Office of Personnel well in advance of the fiscal year in which the revised plan would take effect, to allow sufficient time for Departmental review and approval. In addition, the Office of Personnel may request the bureaus to prepare and submit reports on the implementation of their approved plans. This report has been cleared and is assigned report control symbol, 3-DOI-82-077.

(1) The Bureau Upward Mobility Plan shall be developed, implemented, and evaluated in a joint effort by management officials, bureau Upward Mobility Program coordinators, equal opportunity specialists, personnel staffing specialists, and others as required.

(2) The Plan shall be approved by the bureau director or his designee, and shall be a part of the bureau's permanent issuance system.



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(3) The Plan shall be reviewed for consistency by the Division of Employee Development and approved by the Director of Personnel.

(4) The Plan shall consist of guidelines and standards for planning, developing, and implementing the bureau Upward Mobility Program. (Refer to "Upward Mobility: Considerations for Program Planning and Development," an OPM (WED) publication.)

(5) The Plan must be consistent with Departmental guidelines, FEORP Plans, and Office of Personnel Management requirements. (Refer to 5 CFR Part 720 of the regulations on FEORP and FPM Letter 713-27, Upward Mobility for Employees in Lower Level Positions.)



UPWARD MOBILITY TRAINING AGREEMENT  
FOR THE  
DEPARTMENT OF THE INTERIOR

Under the Master Delegation Agreement between the Office of Personnel Management (OPM) and the Department of the Interior, the Department is authorized to approve all training agreements, a function previously reserved to OPM.

The attached Upward Mobility Training Agreement is hereby extended without a time limit.



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Morris A. Simms  
Director of Personnel  
Department of the Interior

Date

4/26/84

U.S. DEPARTMENT OF THE INTERIOR

TRAINING AGREEMENT TO FACILITATE UPWARD MOBILITY

THIS DOCUMENT IS NOT THE DEPARTMENT OF INTERIOR'S ENTIRE UPWARD MOBILITY PROGRAM. THIS IS ONLY AN APPROVED TRAINING AGREEMENT TO HELP IMPLEMENT A PORTION OF THE DEPARTMENT'S TOTAL UPWARD MOBILITY PROGRAM.

I. PURPOSE

The purpose of this training agreement is to provide maximum opportunity for lower graded employees to advance, so as to perform at their highest potential. This purpose will be accomplished in the Department by assigning selected employees to trainee positions, which will prepare them through experience and training to enter a different occupation which provides a career ladder.

A. OBJECTIVES:

The specific objectives of the program are:

- (1) To obtain more effective utilization of the capabilities of employees.
- (2) To provide a broader base for selection of personnel for occupations providing career ladders and thus diversify the employee population in those occupations.
- (3) To motivate employees and create a climate conducive to high morale.
- (4) To provide lateral and upward mobility to employees, particularly lower graded employees in general schedule and craft/trade and labor occupations whose current assignments do not provide for further advancement.
- (5) To prepare the trainee to function effectively in the immediate target position.
- (6) To broaden career opportunities for employees appointed under the Veterans Readjustment Appointment authority.

## II. POSITION COVERAGE

### A. TRAINEE POSITIONS

Trainees will be selected from Department of the Interior employees in grades GS-1 through GS-9, or their wage grade equivalents, who demonstrate the skills and potential for development. Trainees may be reassigned to the trainee position or they may voluntarily take a reduction in grade to enter the trainee position. Trainees who voluntarily change to a lower grade to participate in the Upward Mobility program and, subsequently, are unable to qualify for the target position will be reassigned to an appropriate position at the lower grade level. Repromotion to the employee's former grade level will be subject to appropriate merit promotion procedures. In those cases where an employee voluntarily accepts demotion to enter the Program, and where the employee's pay rate cannot be accommodated within the new pay range, the employee is entitled to salary retention. (FPM Supplement 990-2, Book 536, S5-1d)

In cases where assignments to trainee positions from one pay system to another pay system (e.g. Wage Grade to General Schedules) will not produce an exact match of hourly salaries using representative rate procedures, trainees may either be promoted or changed to a lower grade as needed to place them at rates closest to their former pay.

### B. TARGET POSITIONS

The training agreement provides for placement of trainees into entry level trainee positions which have no minimum educational requirements. In addition, this training agreement also provides for either promotion or reassignment to a different career field or occupational series upon satisfactory completion of the prescribed training for all target positions including those which have minimum educational requirements. Under no circumstances can trainees be placed directly into any entry-level trainee or target positions which have minimum educational requirements as prescribed in Handbook X-118. (In this case, the trainee must be placed in a technician or paraprofessional position until the positive education requirements have been met.) The target

position may be at the same level as the trainee position or at the next appropriate level in the occupational series for which the employee is being trained. Ordinarily, the next appropriate level will be either one or two grades higher than the trainee's present grade or wage equivalent, depending upon whether the target is classified at one-grade or two-grade intervals. In no case does this agreement authorize exception to the time-in-grade restrictions of OPM regulations.

Before assignment is made to the target position, the trainee must complete a full program of training as described in this training agreement under Item IV. LENGTH OF TRAINING.

Promotions and/or reassignment to the target position will provide the employee with the opportunity for further advancement up the career ladder. However, additional development of candidates beyond the target position will follow normal merit promotion and career development procedures.

This training agreement is applicable to the target position in any of the occupational series properly classified at one- and two-grade intervals and any craft/trade and labor occupations properly grouped as semi-skilled and skilled.

Target positions may fall within any of the following occupational groups:

GS-000	Miscellaneous Occupation Group
GS-100	Social Science, Psychology, and Welfare
GS-200	Personnel Management and Industrial Relations Group
GS-300	General Administrative, Clerical, and Office Service Group
GS-400	Biological Sciences Group
GS-500	Accounting and Budget Group
GS-600	Medical, Hospital, Dental, and Public Health Group

GS-800	Engineering and Architecture Group
GS-900	Legal and Kindred Group
GS-1000	Information and Arts Group
GS-1100	Business and Industry Group (except for GS-1101 series)
GS-1300	Physical Sciences Group
GS-1400	Library and Archives Group
GS-1500	Mathematics and Statistics Group
GS-1600	Equipment, Facilities, and Service Group
GS-1700	Education Group
GS-1800	Investigations Group
GS-1900	Quality Assurance, Inspection, and Grading Group
GS-2000	Supply Group
GS-2100	Transportation Group

### III. SELECTION OF TRAINEES

#### A. SOURCE OF ELIGIBLES

Trainees will be selected on a competitive basis in accordance with Merit promotion guidelines from among Department of the Interior employees without discrimination because of sex, color, race, religion, age, national origin, or any other non-merit reasons. Selection will be made from among:

- Department of the Interior employees who are currently serving in grades GS-1 through GS-9, or their wage grade equivalents, and who are serving under career or career-conditional appointments. Career and career-conditional, part-time, and WAE employees may be considered, but they must be willing to work full-time if selected to participate in the program.
- Veterans Readjustment Appointment (VRA) appointees will be eligible to compete for upward mobility positions. If selected, VRA appointees will be reassigned to trainees positions, and their initial

training agreements under the VRA appointment, if not entirely completed, may be terminated by amendment at that time. They will remain on their VRA appointments, however, until such time as they have completed the required 2 years of service necessary for conversion to competitive status. If performing satisfactorily at that time, VRA's are to be converted, in place, to competitive service under the provisions of OPM Regulation 315.705.

- Department of the Interior employees who are currently serving in excepted positions under Schedule A appointing authority under Section 213.3102(U), are also eligible to compete for upward mobility positions.
- Candidates selected for development must possess an overall background of sufficient level and quality to indicate that they have the potential ability to perform successfully in the target position and the ability to profit from the development experience.

**B. EVALUATION METHODS**

A three to five member review panel will be established to assure that the evaluation process is in accordance with merit principles. The proposed selection procedures are outlined in Appendix B.

**C. ANNOUNCEMENT OF OPPORTUNITIES**

All announcements made under this training agreement will include not only the required specificity regarding the job element criteria but will also include the identification of title, grade, series, and the promotion potential through normal career ladder of the target position.



#### IV. LENGTH OF TRAINING

Before reassignment and/or promotion to a specific target position can be effected, all trainees must make up the difference in qualifications from what they bring into the program and the qualifications required (whether general experience or specialized experience or both) for the target position as published in Handbook X-118; training time to make up the difference in such qualifications may then be credited at the rate of one month of training for two months of experience under the terms of this training agreement. In other words, if a trainee needs three years of general experience to qualify for a target position, his/her training time would then take at least one and a half years under the terms of this approved training agreement; another example, if the target position requires three years of general experience and one year of specialized experience and the employee has no creditable qualifying experience, he/she would then need as a minimum, two full years of accelerated training (six months of which must be specialized experience) under the terms of this approved training agreement before movement is made into the target position.

Assignments for trainees must include no less than 50 percent training time in the target area or closely-related functions. Training plans must specify the length and type of training needed to qualify the trainees for the target position.

Selectees who fail to meet the performance requirements of the training program may be returned to their former positions if they have not been filled or to other positions of similar duties and grades.

Unsuccessful employees who voluntarily changed to a lower grade will be reassigned to an appropriate position at the lower grade level. Re-promotion to the employee's former grade level will be subject to competitive merit promotion procedures.

#### V. TRAINING PLAN

An individual training plan will be prepared for each selectee. The plan will be designed to have generally the same pattern for the career field to assure that the selectee acquires the necessary knowledges and skills for the career field at the appropriate level of the target position (see sample Training Plan, Appendix F).

Within 30 days after reassignment of an employee to the "trainee position," an individual development plan will be prepared and may include any part of the following:

A. FORMAL TRAINING

Selectee may participate in academic courses offered at local schools and colleges or interagency facilities. These courses, relevant to the target positions, may be taken during or after working hours at Government expense.

B. ON-THE-JOB TRAINING

The selectee will be assigned responsible and productive work assignments under one or a number of work assignment supervisors. The supervisors will be chosen not only because of their technical abilities but also because of their supervisory experience and demonstrated interest and skill in developing employees.

C. SELF-DEVELOPMENT

Trainees will be encouraged to participate in self-directed developmental activities. The program may include reading of materials related to the career field or in the case of craft/trade occupations applicable job-related materials. They will also be encouraged to participate in professional societies and attend local institutions on their own.

VI. COUNSELING

Each work assignment supervisor will consult with the trainee concerning his/her learning progress and career goals at the completion of each major work assignment or not less frequently than quarterly. As appropriate, this counseling may be expanded to include consultation with a higher level operating official and/or a representative of the personnel division.

VII. EVALUATION OF TRAINEE'S PROGRESS

After reassignment to the trainee position, an evaluation will be made either quarterly or after each assignment to assess progress of the employee in terms of meeting the job element requirements and to review the training plan to determine the need for modification. Upon completion

of the training program, supervisors will make a final summary evaluation of the achievement and performance of the trainee. Trainees, likewise, will be expected to make written evaluations of any formal training received. The trainee will be considered to have met the qualification requirements established for the target position upon successful completion of training and may then be eligible for reassignment and/or promotion to the target position.

Unsatisfactory Performance of Trainee - If at any point in the training period there is an indication, as evidenced by the supervisory evaluations or performance in training courses, that the trainee is not performing satisfactorily and will be unable to move into the target position, the agency personnel officer or his/her designee, with the trainee's supervisor and/or counselor, shall review the situation and recommend an appropriate course of action such as: (1) reassign the employee to a non-training position; (2) reassign the employee to a similar training position under the direction of another supervisor; or (3) extend the employee's training an additional six months.

#### VIII. FLEXIBILITY PROVISIONS

To avoid frequent minor amendments to the agreement caused by variation in mission of subordinate field elements, changes in concepts of methodology in subject fields, or training needs, it is permissible, provided it does not extend beyond a total period of six months, to:

- A. Tailor within the total scope and overall objectives of the development program, the length and intensity of the subject matter to meet the individual needs of trainees.
- B. Adjust elapsed training time as appropriate in individual cases to cover contingencies such as sick leave, emergency annual leave, or trainee's inability to grasp a portion of the development assignment.
- C. Alter sequence of training to allow for learning experience to be responsive to actual work situations as they arise during the development period when conditions or experience indicate the desirability of such changes.

- D. Add or modify subject matter material depending on technological changes, the needs of the Department or bureau, and the trainees, and evaluation experience of the development program.

#### IX. ADMINISTRATION OF THE AGREEMENT

- A. Chief, Division of Employee Development, Office of Personnel. The Chief, Division of Employee Development will represent the Director of Personnel in ensuring Department-wide compliance with the terms of this training agreement.
- B. Bureau Personnel Officers. Personnel Officers will be responsible for:
- (1) Administering the program within their organizations, including field offices.
  - (2) Ensuring that each proposed individual training plan will enable the trainee to meet the minimum qualification requirements for the target position.
  - (3) Providing counseling for trainees.
- C. Bureau Personnel Officers/Supervisors of Trainees. Personnel Officers and the supervisors of trainees will jointly be responsible for:
- (1) Developing an individual training plan for trainees.
  - (2) Ensuring that the training is carried out as outlined in the training plan.
  - (3) Making the final determination concerning the trainee's placement into the target position either by reassignment and/or promotion after having reviewed the training plan and the evaluation reports.
  - (4) Signing a statement certifying that the trainee has satisfactorily completed the required training in accordance with the provisions of this agreement. This statement should be made a part of the employee's Official Personnel Folder.
- D. Bureau Line and Staff Officials. As part of their regular supervisory and managerial responsibilities, line and staff officials will be responsible for systematically identifying and making upward mobility opportunities available to employees within their own organizations.

A P P E N D I C E S

- A. Qualification Analysis and Appraisal Form  
for Personnel Positions
- B. Selection Procedures
- C. Position Description for a Target Position
- D. Upward Mobility Vacancy Announcement
- E. Instructions to Panel Members
- F. Sample Training Plan
- G. Training Evaluation Plan

QUALIFICATION STANDARDS

PERSONNEL MANAGEMENT AND  
INDUSTRIAL RELATIONS GROUP

GS-200  
(p. 13)

QUALIFICATIONS ANALYSIS AND APPRAISAL FORM FOR PERSONNEL POSITIONS

Name of Candidate	Position To Be Filled	Grade
-------------------	-----------------------	-------

**INSTRUCTIONS FOR DETERMINING JOB REQUIREMENTS:** Check column A as follows: ✓ for an ability that is desirable but not critical; ✓✓ if an ability is essential for acceptable performance; ✓✓✓ if an ability is essential to acceptable performance and a high degree of it is especially important for top quality performance.

**2. QUALIFICATION APPRAISAL INSTRUCTIONS:** From your personal knowledge give your evaluation on each checked item by marking the column C thru G which best expresses your appraisal of the candidate. Base your evaluations on firsthand knowledge only. If your knowledge of the candidate's job behavior on any marked element was heard from someone else, mark that element under column G, "Don't Know."

Degree of importance of element to job (Indicate ✓, ✓✓, or ✓✓✓) (A)	Ability statements representing job elements (B)	Completely true (C)	More true than false (D)	More false than true (E)	Not true (F)	Don't know (G)
	1. Shows a good theoretical knowledge and practical understanding of basic relationships of personnel management functions, theories, and techniques.					
	2. Is competent in matters pertaining to:					
	a. Recruitment, selection and staffing					
	b. Examining					
	c. Position classification					
	d. Salary and wage administration					
	e. Employee development and training					
	f. Employee relations					
	g. Labor relations					
	h. Equal employment opportunity					
	3. Demonstrates a good knowledge of, and skill in the use of the following:					
	a. Job analysis techniques					
	b. Interviewing techniques					
	c. Personnel measurement devices and techniques					
	d. Negotiating and bargaining techniques					
	e. Adult education and training devices and techniques					
	f. Information gathering or data collecting techniques					
	g. Techniques of constructing salary and wage schedules					
	h. Statistical methods and techniques					
	4. Understands the ways in which personnel management can help an organization achieve its goals.					
	5. Relates personnel functions to the achievement of effective, economical management and operations.					
	6. Fosters in managers and employees an attitude of responsive service to the public.					
	7. Displays ability to develop effective communications between management, employees, and employee groups.					
	8. Shows the ability to analyze complex problems.					
	9. Demonstrates creativity in devising solutions to personnel management problems.					
	10. Shows the ability to carry through an assignment.					
	11. Demonstrates the ability to gain acceptance of recommendations.					
	12. Displays effectiveness in personal work relationships with all levels of responsibility both within and outside the organization.					
	13. Demonstrates skill in oral expression.					
	14. Demonstrates skill in written presentations.					
	15. →Shows an← ability to manage a program.					
	16. →Shows an← ability to develop, motivate and manage a staff.					
	17. Demonstrates the capacity to make sound decisions.					
	18. Other.					
	19. Other.					

Relationship with candidate	From	To	Your present position or title
Employer or superior			
Fellow employee			
Other (Specify)			
			Signature
			Date

(TS-167)  
August 1978

GS-200  
(p. 14)

**PERSONNEL MANAGEMENT AND  
INDUSTRIAL RELATIONS GROUP**

**QUALIFICATIONS ANALYSIS AND APPRAISAL FORM FOR PERSONNEL  
STAFFING SPECIALIST POSITIONS**

<b>Name of Candidate</b>	<b>Position To Be Filled</b>	<b>Grade</b>
--------------------------	------------------------------	--------------

1. **INSTRUCTIONS FOR DETERMINING JOB REQUIREMENTS.** Check column A as follows: ✓ for an ability that is desirable but not critical; √ √ if an ability is essential for acceptable performance; √ √ √ if an ability is essential to acceptable performance and a high degree of it is especially important for top quality performance.
2. **QUALIFICATION APPRAISAL INSTRUCTIONS.** From your personal knowledge give your evaluation on each checked item by marking the column C thru G which best expresses your appraisal of the candidate. Base your evaluations on firsthand knowledge only. If your knowledge of the candidate's job behavior on any marked element was heard from someone else, mark that element under column G, "Don't Know."

Degree of importance of element to job (Indicate √; √ √; or √ √ √) (A)	Ability statements representing job elements  (B)	Com-pletely true (C)	More true than false (D)	More false than true (E)	Not true (F)	Don't know (G)
	1. Shows good professional knowledge and practical understanding of basic relationships of personnel management functions, principles and techniques relating to personnel staffing.					
	2. Is knowledgeable of the application of rules, regulations and statutes of personnel staffing work in carrying out a personnel program in: (a) Federal service					
	(b) public sector					
	(c) private sector					
	3. Is competent in matters pertaining to personnel staffing work: a. <i>Staffing:</i> Competent in the application of job analyses and in the development or application of qualification standards or other rating guides.					
	b. <i>Examining:</i> Competent in the application of qualification and the use of classification standards; and of the development of rating schedules; and has knowledge of the methods for job analysis, selection process and examining.					
	c. <i>Recruitment:</i> Competent in dealing with representatives from a wide variety of professional associations and organizations to develop recruitment sources; and skill in interviewing and counseling techniques, developing media strategies and developing recruitment advertisements.					
	4. Has a practical understanding of the basic principles and techniques of position classification, employee relations, equal employment opportunity and labor relations, in their relationship to the staffing process.					
	5. Demonstrates a good knowledge of, skill in, or ability to use the following: a. Job analysis techniques					
	b. Interviewing techniques					
	c. Personnel measurement devices and techniques					
	d. Negotiating techniques					
	e. Information gathering or data collecting techniques.					
	6. Understands the ways in which personnel management can help an organization achieve its goals through an effective and economical personnel management program.					
	7. Fosters in managers and employees an attitude of responsive service to the public.					
	8. Displays ability to develop effective communications between management, employees, and employee groups in order to gain acceptance of personnel programs.					
	9. Shows the ability to analyze complex problems relating to the development and/or implementation of personnel procedures.					
	10. Demonstrates creativity in devising solutions to personnel management problems that impact on organizational programs.					
	11. Shows the ability to apply or devise effective plans, procedures or methods to carry out work assignments.					
	12. Demonstrates the ability and skill to gain acceptance through oral expression of recommendations and/or decisions based upon well developed facts.					
	12. Demonstrates the ability and skill to gain acceptance through written presentation of recommendations and/or decisions based upon well developed facts.					
	14. Shows an ability to manage a program.					
	15. Shows the ability required to develop, motivate and manage a staff.					
	16. Other.					

<b>Relationship with candidate</b>	<b>From</b>	<b>To</b>	<b>Your present position or title</b>	
Employer or superior				
Fellow employee				
Other (Specify)			<b>Signature</b>	<b>Date</b>

(TS-167)  
August 1978

## Selection Procedures

The attached material describes a procedure that can be used in arriving at the crediting plan in the appendix. These procedures are only one possible way of developing a KSAO (Knowledge, skill, ability, or other characteristic) based crediting plan. As each bureau adopts a KSAO system, they may modify it for use in their upward mobility program. As bureau plans are adopted, one must remember the distinction between upward mobility selection and other selection. For upward mobility purposes, some of the KSAO's normally used in the evaluation of applicants are not used in evaluation. Instead, the individual that is selected is trained in these areas. This consideration of measurement vs. training may require some slight modification to a bureau standard procedure.

In general, any system used to develop a crediting plan for upward mobility must contain the following elements:

- A. A job analysis - This is a determination of what the job requires. The job analysis identifies what will be done on the job and what is required by the individual in order to do the job.
- B. A determination of which KSAO's will be used in evaluating applicants and for which KSAO's training will be provided.
- C. For those KSAO's that are going to be used in evaluating applicants, one should determine the type of information that will be considered and benchmarks examples for each level of credit that illustrates how the factors will be used in the evaluation process.
- D. The weights to be given to each KSAO used in evaluation.
- E. A tentative review of the KSAO's on which the selectee will be trained. This is needed to insure that training is possible. (A complete training plan must be developed after the selection is made - see Appendix D).

The following steps should be used in developing a rating guide with the attached forms:

- A. Determine the duties and KSAO's needed for the job. In this step, the duties of the job and the KSAO's needed by an individual in order to do the job are determined. Form A should be used at this stage. The personnel specialist should review the position description, classification and qualification standards, any previous job analysis of this or similar positions, and other relevant sources of information. The supervisor and another subject matter expert



(SME) should be consulted to obtain a list of duties and KSAO's required. All of the information should be reviewed and consolidated by the staffing specialist.

The consolidated list of duties should be prepared on Form A and the consolidated list of KSAO's on the KSAO form (Form B).

- B. Decide which KSAO's are to be measured and on which KSAO's training will be provided. Using Form B, the supervisor evaluates each of the KSAO's for relevancy to the duties and makes a determination of whether it should be used in the selection process or if training should be provided. Also, an initial estimate of the importance of each KSAO is made. This estimate will be used later in determining the weights to be assigned each KSAO in the crediting plan. The staffing specialist should review the completed KSAO Form. Because of the upward mobility nature of the analysis, an attempt should be made to train for as many elements as possible. However, be sure that training is indicated as appropriate. Form C may be useful in making this determination. Note that it may be inappropriate to either train or measure for an individual KSAO or that both may be appropriate for different aspects of a single KSAO.
- C. Determining how each KSAO that is going to be used in evaluating applicants will be measured. Using Form D, the staffing specialist and supervisor and SME should determine what tools (e.g., application form, panel interview, awards, tailored or standard supervisory appraisal, supplements, training, education, etc.) should be used in order to obtain the needed information concerning the individual's capabilities on the KSAO. They must also determine how an applicant will be evaluated and, finally, examples of backgrounds of applicants which would be assigned the various point ranges. If a KSAO is to be used in a selective factor, this should be determined at this point.

Once Form D is completed for each KSAO, the staffing specialist, supervisor, and SME should determine any weighting that should be done. Because of the complete issues involved in using weighting, each bureau is given wide latitude in determining any procedure to be used in weighting. Normally, no factor should be assigned more than 10 points before a multiplier is assigned, and no factor should account for more than 40 percent of the final rating.

After the above process is completed, the bureaus should follow their standard procedure in announcing, advertising, and paneling a vacancy, with the following being addressed:

1. The vacancy should be clearly identified as being an upward mobility position.
2. If the panel objects to portions of the crediting plan, these objections should be resolved before rating and ranking occur.
3. After completing the rating, ranking, and certifying process, the panel should review the crediting plan and make any modifications they feel would be useful if they were to redo the process. This information will be used in subsequent vacancies.



FORM B

KSAO Form \_\_\_\_\_

By C - P. M. \_\_\_\_\_

Page \_\_\_ of \_\_\_

1 Task #	2 Train	3 Measure	4 Importance

Directions for Form B

**Instructions for Completing Job Analysis Forms**

Thank you for participating in the job analysis panel. Enclosed are the task list and KSAO Forms for the job we are analyzing. Following are the directions for completing the task form.

**Step A.** Review the task list to see if all the tasks are important and/or if any important task has been left out. If any task is not important, cross it out. If there are any additional tasks which are important, add these to the bottom of the list.

**Step B.** Review the KSAO's listed on the KSAO form in the same way you review the tasks.

**Step C.** For each KSAO on the KSAO form, record the number of the tasks for which it is needed in column 1, "Task #'s." (e.g., If KSAO #1 is needed in order to do tasks numbered 2, 8, 9, and 11, record 2, 8, 9, 11 in column 1).

**Step D.** You now must decide if you think a person should have this KSAO prior to selection for the job, or can we train the person on the KSAO after selection. If you feel that we can/should train a person on this KSAO check column 2 (training). If you feel that a person should have this KSAO when they start the job, check column (measure). If you feel that a person should have some of the KSAO when they first start the job but that we should also provide further training, check both columns 2 and 3.

(Do not concern yourself with the type of training (OJT, forms, etc.) or the measurement procedure that we will use at this point. We will decide these questions at our final meeting.)

**Step E.** You will now need to make a judgment on the relative importance of each KSAO. In making this judgment you will need to consider such factors as

- o Critically - What happens if a worker does not possess the KSAO
- o Success - How will a person who has this KSAO perform
- o Frequency - How often is the KSAO needed or used.

In making your judgment, please use the following scale:

Relative to the other KSAO's on the list, the KSAO is

- 7. critical
- 4. of average importance
- 1. unimportant

FORM C

PSS \_\_\_\_\_ P.M.

Page \_\_\_\_ of \_\_\_\_

Job \_\_\_\_\_

Date \_\_\_\_\_

TRAINING OUTLINE FORM

Suggested Training

Training Needed

KSAO #

FORM D

Measurement Procedures for \_\_\_\_\_

SME \_\_\_\_\_ PSS \_\_\_\_\_

KSAO (# \_\_\_\_\_) \_\_\_\_\_ Date \_\_\_\_\_

Usage: S.O. \_\_\_\_\_, C.P. \_\_\_\_\_ Tools: 171 \_\_\_\_\_, Sup \_\_\_\_\_, S.A. \_\_\_\_\_, Int \_\_\_\_\_  
Test \_\_\_\_\_. Other (specify) \_\_\_\_\_

General Description \_\_\_\_\_

Examples of Performance Credited at each Level

H. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

M. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

L. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

APPENDIX C

Optional Form 6 7/3/74 FPM Ch. 200 500-104  <b>POSITION DESCRIPTION</b>		1. Check one: Dept <input checked="" type="checkbox"/> Field <input type="checkbox"/>		2. Official headquarters: Washington, DC		4. Agency position No.	
		3. Reason for substitution: (a) If this position replaces another (i.e., a change of duties in an existing position), identify such position by title, allocation (service, series, grade), and position number New position - target position		(b) Other (specify) for Upward Mobility Trainee		6. C. S. C. certification No.	
5. CLASSIFICATION ACTION				7. Date received from C. S. C.			
ALLOCATION BY		CLASS TITLE OF POSITION		CLASS			DETAILS
				Service	Series	Grade	DAYS
a. Civil Service Commission		NonExempt FLSA					
b. Department, agency, or establishment							
c. Bureau		Personnel Management Specialist		GS	201	7	
d. Field office							
e. Recommended by initiating office		(Upward Mobility Trainee) Personnel Management Specialist		GS	201	7	
8. Organizational title of position (if any)				10. Name of employee (if vacancy, specify V-1, 2, 3, or 4)			
11. Department, agency, or establishment Department of the Interior		a. Third subdivision Office of Personnel Management					
b. First subdivision Office of the Secretary		4. Fourth subdivision Division of Employment and Position Management					
c. Second subdivision Assistant Secretary - Policy, Budget, and Administration		5. Fifth subdivision Office of the Division Chief					
12. This is a complete and accurate description of the duties and responsibilities of my position		13. This is a complete and accurate description of the duties and responsibilities of this position		(Sign #13 below)			
_____ (Signature of employee) _____ (Date)		_____ (Signature of immediate supervisor) _____ (Date)					
14. Certification by head of bureau, division, field office, or designee representative		14. Certification by department, agency, or establishment					
_____ (Signature) _____ (Date) Title: Director of Personnel		_____ (Signature) _____ (Date) Title: Personnel Management Specialist					
14. Description of duties and responsibilities							
#13. I certify that this is an appropriate statement of the major duties and responsibilities of this position and its organizational relationships and that the position is necessary to carry out the Government functions for which I am responsible. This certification is made with the knowledge that this information is to be used for statutory purposes relating to appointment and payment of public funds and that false or misleading statements may constitute violations of such statutes or their implementing regulations.							
_____ Signature of IMMEDIATE Supervisor				_____ Date			

If more space is required, use the other side and additional pages also 5 x 8 1/2

★ GPO: 1982-O-722-707



### Personnel Management Specialist GS-201-7

This position is in the Office of Personnel Management which has primary staff responsibility for planning, developing, and implementing policies, programs, standards, and systems for the effective utilization, development and management of human resources to accomplish the overall missions of the Department; for evaluating the effectiveness of the Department's personnel management program; and for the analysis of position structures. The Office has Departmental responsibility for Office of Management and Budget and Office of Personnel Management directives, as assigned and is the liaison with these organizations and other agencies concerning human resources management. The Office interprets laws, executive orders, rules and regulations, and provides technical and professional assistance, advice and guidance to the Secretariat and the bureaus. The Director, Office of Personnel Management, is responsible to the Assistant Secretary - Policy, Budget and Administration and is aided by six Divisions.

#### Duties:

Performs a variety of developmental assignments of progressive difficulty in functional specialties of personnel management, specifically, position classification, staffing, employee relations, labor relations, and employee development. Assignments are designed to improve the trainee's grasp and understanding of personnel management, in particular to develop competence in position classification and staffing.

Receives continuing guidance in the methodology and performance of work assignments involving classification analyses and evaluations, interviewing applicants and evaluating qualifications, counseling regarding benefits, employment problems, career development; and assisting labor relations specialists in researching case problems.

Participates in planned formal educational programs such as university courses, interagency programs, professional society meetings, seminars, and related activities.

#### Knowledge, Abilities, and Skills Required

Basic knowledge of OPM, OMB and Interior policies, standards and guidelines relating to the personnel management function with special emphasis on position classification, staffing, and employee benefits.

Ability to research, collect, verify, and analyze information, such as qualification and classification standards and requirements.

Skill in dealing with individuals in person and by telephone.

Knowledge of the Department's organization and functional responsibilities of the Department's Office of Personnel.

### Supervisory Controls

Works under the general supervision of the Chief of the Division of Employment and Position Management. Receives assignments and guidance from higher graded personnel specialists. There are frequent checks on assignments and considerable coaching due to the trainee nature of this position.

### Guidelines

Incumbent follows established policy and uses judgment in following and interpreting guidelines, procedures, and standards.

### Complexity

The nature of assignments varies, but is of progressive difficulty. Tasks are sometimes non-routine and unprecedented. Conditions vary according to the phase of work or specific issues involved.

### Scope and Effect

The accuracy and reliability of the work reflects on the capability and credibility of the Office of Personnel.

### Personal Contacts

Day-to-day contact with professionals within PPM, with professionals and other employees at bureau headquarters personnel offices, other personnel specialists in the Department and outside.

### Purpose of Contacts

The purpose of contacts is to give, exchange, or gather information, or to provide a service or assistance.

### Physical Demands

The work requires long periods of sitting and good concentration.



# United States Department of the Interior

OFFICE OF THE SECRETARY  
WASHINGTON, D.C. 20240

VACANCY ANNOUNCEMENT  
UPWARD MOBILITY

POSITION: Personnel Management Specialist  
GS-201-5/7

\_\_\_\_\_  
Announcement No.

LOCATION: Office of the Secretary, Office of  
Personnel Management, Division of  
Employment and Position Management

\_\_\_\_\_  
Issuing Date

AREA OF CONSIDERATION: Departmentwide (Washington  
Headquarters)

\_\_\_\_\_  
Closing Date

AN EQUAL OPPORTUNITY EMPLOYER: All eligible applicants will receive consideration without regard to race, color, creed, sex, politics, religion, national origin, age, or other non-merit factors.

DUTIES: The trainee will be assigned a variety of developmental assignments of progressive difficulty in functional specialties of personnel management; specifically, position classification, staffing, wage and pay administration, and employee benefits. Assignments are designed to improve the trainee's grasp and understanding of personnel management, in particular to develop competence in position classification and staffing.

Receives continuing guidance in the methodology and performance of work assignments involving classification analyses and evaluations, interviewing applicants and evaluating qualifications, counseling regarding benefits, and assisting specialists in researching case problems in wage and pay administration.

ELIGIBILITY REQUIREMENTS: In order to be considered for this position, applicants must:

- Currently be employees serving under career or career-conditional appointments or having reinstatement eligibility;
- Currently be employed in the Department of the Interior in positions which are classified at one-grade intervals, GS-5 through 9 (or wage grade equivalent); and
- Have a current record of performance and conduct which is satisfactory or higher.

SELECTION METHOD: Through use of the Department of the Interior's Training Agreement for Upward Mobility, underdeveloped employees with demonstrated potential who do not meet the basic qualification requirements, as found in the X-118 Standards, and underutilized employees who do meet the standards, will be given the opportunity to be competitively selected and trained for the position.

Upon selection, the trainee will be placed in a GS-5 trainee position if currently a GS-5 or 6, or placed in a GS-7 trainee position if currently a GS-7, 8, or 9. Selection will be based on evidence of the candidate's potential to perform in the target position. This will involve use of such tools as performance evaluations, assessment of potential and interviews when necessary, as well as review of past work and experience, outside activities, training and awards.

Candidates will be evaluated by a Rating Panel and rated on the following factors: (1) application of theory to practical situations, (2) analysis and organization of information, (3) verbal communications, (4) written communications, and (5) work habits and response to work situations.

---

LENGTH OF TRAINING: Approximately 12 months. Length of training will vary, however, based on the development and ability of the individual to perform in the target position as determined by the supervisor.

---

PROMOTION POTENTIAL: This is an Upward Mobility position with noncompetitive promotion potential to GS-11. However, the intent is to place the person successfully completing their training in an operating personnel office at the bureau level. It should be noted, however, that promotion is neither guaranteed nor automatic. Promotion will depend upon successful performance. Successful performance as a trainee and completion of the training program will enable the trainee to qualify and be promoted to the next career ladder grade level. Future promotions will be based on demonstrated skill and experience as defined in Handbook X-118 and will be contingent upon attaining the full performance level in the career ladder.

---

DEVELOPMENTAL PLAN: An individual training plan will be designed for the individual selected and will cover the entire training period. The plan will specify developmental assignments involving on-the-job training as well as formal training courses. The training plan will correspond to the particular needs of the individual selected, in order to meet the requirements of the target position.

---

HOW TO APPLY: Interested applicants MUST submit the following:

- Current Standard Form 171
- Supplemental Application Form (copy attached)
- 2 Supervisory Appraisals (Only the attached forms will be accepted; one must be completed by the applicant's current supervisor and the other should be completed by a previous supervisor.

These forms should be sent to:

Chief, Branch of Personnel Operations (A)  
Office of the Secretary, Room 5453  
Main Interior Building

Standard Form 171 must be received in this office on or before the closing date of this announcement. The appraisal forms and supplementary applications should be received no later than 3 working days after the closing date. Applications will not be further considered if all required forms have not been received when the rating process begins.

Vacancy Announcement No. \_\_\_\_\_

Name of Applicant \_\_\_\_\_

Supplement for Personnel Management Specialist, GS-201-5/7

The purpose of this supplement to the SF-171 is to collect information that is directly related to the rating factors which will be used in evaluating applicants for this job and it is intended as a way for you to draw attention to your abilities. You may add information not identified in your SF-171 or expand on that which is identified. You should consider appropriate work experience, outside activities, awards, training and education for each of the factors listed below. Use additional paper if needed.

Factor 1 - Ability to apply theory to practical situations (includes ability to interpret regulations and laws; ability to work in an environment where procedures are not clear-cut or defined)

Factor 2 - Ability to organize and analyze information (includes ability to research information from various sources, analyze information, and draw conclusions based on analyses)

Factor 3 - Verbal communications (includes ability to listen and evaluate information, to obtain desired information, to effectively present information verbally, and to meet and deal with people)

Factor 4 - Written communication (includes ability to write clearly and concisely)

Factor 5 - Response to work situations (ability to work under pressure and ability to meet deadlines)

Vacancy Announcement No. \_\_\_\_\_

Supervisory Appraisal

Applicant's Name: \_\_\_\_\_

Appraiser's Name: \_\_\_\_\_

How did you gain knowledge of the applicant

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

This evaluation will be used as part of the rating process for the Upward Mobility position of Personnel Management Specialist, GS-201-5/7, in the Office of Personnel Management, 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 measurable knowledges, skill, and abilities which are indicative of an individual's potential to perform in the position. After each factor, a space is provided for comments. This space should be used to elaborate on your ratings and to describe the basis of your judgement.

EVALUATION FACTORS	Superior	Above Average	Average	Need Some Improvement	N/A	COMMENTS
<b>Factor 1 (Application of Theory to Practical Situations)</b>						
a) Ability to interpret complex regulations, procedures, and laws						
b) Ability to readily apply theory to an actual situation						
c) Ability to work in an environment where procedures are not clearcut or defined						
<b>Factor 2 (Analysis and Organization of Information)</b>						
a) Ability to gather and organize information from a variety of sources						
b) Ability to analyze information						
c) Ability to draw sound conclusions based on analyses						

EVALUATION FACTORS	RATING			COMMENTS
	Superior	Above Average	Average	
<b>Factor 3 (Verbal Communications)</b> a) Ability to listen and evaluate information b) Ability to obtain desired information c) Ability to effectively communicate orally d) Ability to use tact and diplomacy in dealing with people				Need Some Improvement N/A
<b>Factor 4 (Written Communication)</b> a) Ability to express an idea clearly and concisely in writing b) Command of English language--grammar, etc...				
<b>Factor 5 (Work Habits and Response to Work Situations)</b> a) Ability to work under pressure b) Ability to meet deadlines c) Ability to establish and maintain effective work relationships with supervisors and co-workers d) Ability to accept constructive criticism and a willingness to learn from it e) Personal deportment and appearance f) Dependability				

Additional Comments:



## APPENDIX E

UPWARD MOBILITY  
VACANCY ANNOUNCEMENT  
Personnel Management Specialist, GS-201-5/7Instructions to Panel Members \*

Attached is the rating sheet to be used in evaluating all applicants meeting eligibility requirements for this position. Also attached are copies of the position description and vacancy announcement.

In rating the applications, the following should be taken into consideration: practical experience, education, training, supervisory evaluations, and outside activities. Awards will be taken into consideration under the appropriate measurement device (e.g. a special achievement award for assisting in setting up procedures for a new office would be considered under Factor 1 - Work experience).

Below are listed the factors to be used in rating the applications. (The attached rating form provides a detailed breakdown of the element). Note that even though the total number of points possible for a particular factor may be as high as 20, you will never assign a rating higher than 10 for any one factor . . . ratings will then be adjusted according to the relative importance of the factor (for example, factor 1 is worth 20 of the 70 points possible. You assign a rating of from 0 to 10 and this rating is multiplied by 2 for your final score under this factor. An applicant would receive a rating of 0, 2, 4, 6, . . . 16, 18 or 20 for this factor.).

If an applicant shows no evidence of having the indicated experience, or it could not reasonably be assumed that such experience was gained in the work described, he/she should be assigned a zero in that area.

Applicants' scores must not be discussed outside of the panel meeting. If you receive any inquiry about the panel session or the results thereof, the individual seeking such information should be redirected to the personnel office.

Rating Factors:

- 1) 20 points: Application of Theory to Practical Situation
- 2) 20 points: Analysis and Organization of Information
- 3) 10 points: Verbal Communications
- 4) 10 points: Written Communications
- 5) 10 points: Work Habits and Response to Work Situations

\*The three panel members will consist of an Upward Mobility Coordinator, a subject matter specialist, and a personnel management specialist.

Factor 1: Application of theory to practical situations

Elements: -ability to interpret regulations, procedures and laws  
-ability to readily apply theory to an actual situation

Basis of Evaluation:

Supervisory Appraisal (S. A.) - Factor 1  
Work Experience - 171 and Supplemental - Factor 1  
Outside Activities - 171 and Supplemental - Factor 1  
Education - 171 and Supplemental - Factor 1

Benchmarks:

- H -Superior S.A. (Factor 1)  
-Work experience in an area involving use of and interpretation of complex and voluminous regulations and/or lack of set procedures e.g. experience gained as an accounting clerk; personnel assistant  
-Outside activities - holds an office (e.g. Vice President) in an organization  
-Education - 2 or more years of college (particularly if it has involved case studies)  
-----
- M -Above average S.A. (Factor 1)  
-Work experience involving frequent reference to regulations or procedures but regulations/procedures are less complex or voluminous e.g. experience as a personnel clerk requiring reference to regulations but infrequently requiring interpretation; experience as a secretary assisting in the establishment of a new office - setting up procedures  
-High School graduate  
-----
- L -Average S.A. (Factor 1)  
-Work experience is routine in nature and requires relatively little interpretation of regulations/procedures e.g. secretarial experience requiring reference to Government printing manuals; experience as a records clerk

Factor 2: Analysis and organization of information

- Elements:
- ability to organize information from a variety of sources
  - ability to analyze information
  - ability to draw sound conclusions based on analyses

Basis of Evaluation:

Supervisory Appraisal (S.A.) - Factor 2  
Work Experience - 171 and Supplemental - Factor 2  
Outside Activities - 171 and Supplemental - Factor 2  
Education - 171 and Supplemental - Factor 2

Benchmarks

- H -Superior S.A. (Factor 2)
- Work experience that involves gathering information from a variety of sources (requires actual research and sources vary from one assignment to another), analyzing and evaluating the information, AND making recommendations or presentations based on conclusions e.g. experience as a statistical or research assistant
  - Outside activities - e.g. volunteer work with Red Cross requiring gathering and summarizing statistics related to a national disaster
  - Education - 2 or more years of college (particularly if it has involved considerable research and preparation of term papers and theses)
- 

- M -Above average S.A. (Factor 2)
- Work experience has required substantive analysis of information (of moderate difficulty) but the research is fairly routine and/or recommendations are not made or are very closely reviewed e.g. experience as a secretary whose supervisor frequently requests her to prepare reports requiring fact-finding and related to his/her program area; experience as a correspondence clerk requiring analysis of income requests for information and preparation of responses (other than form letter, standard responses)
  - High School graduate
- 

- L -Average S.A. (Factor 2)
- Work experience involves little substantive analysis of information; evaluation of information is fairly routine in nature e.g. secretarial experience involving reviewing incoming mail and determining appropriate referral; clerical experience involving review of forms for completeness of information

Factor 3: Verbal communications

- Elements:
- ability to listen and evaluate information
  - ability to obtain desired information
  - ability to effectively communicate orally
  - ability to meet and deal
  - ability to use tact and diplomacy

Basis of Evaluation:

Supervisory Appraisal (S.A.) - Factor 3  
Work Experience - 171 and Supplemental - Factor 3  
Outside Activities - 171 and Supplemental - Factor 3  
Training - 171 and Supplemental - Factor 3

Benchmarks:

- H -Superior S.A. (Factor 3)  
-Work experience where the emphasis is on meeting and dealing with people e.g. experience as a tour guide, interpreter in the Parks, - sales person, secretary in a Public Affairs or Assistant Secretary's office with receptionist/screening assignments  
-Outside Activities - president of PTA, member of Toastmasters, member of a debating team, amateur actor  
-Training - public speaking courses  
-----
- M -Above average S.A. (Factor 3)  
-Work experience involving considerable contact with people, but of a more routine nature e.g. experience as a secretary at the Division level with normal screening/receptionist assignments; clerical experience (such as Payroll Clerk) requiring frequent contact with a variety of people  
-----
- L -Average S.A. (Factor 3)  
-Work experience involves contact with a limited number of people or nature of contacts is very routine e.g. clerical positions primarily involved with typing; library technician primarily involved in cataloging

Factor 4: Written communication

Elements: -ability to write clearly and concisely

Basis of Evaluation:

Supervisory Appraisal (S.A.) - Factor 4  
Work Experience - 171 and Supplemental - Factor 4  
Outside Activities - 171 and Supplemental - Factor 4  
Training - 171 and Supplemental - Factor 4

Benchmarks:

- H -Superior S.A. (Factor 4)  
-Work experience requiring writing on a variety of topics and involving some substantive program knowledge e.g. correspondence clerk; secretary writing nonroutine responses to inquiries, drafting position description, etc.  
-Outside activities - editing an organization's (e.g. PTA) bulletin writing for a school newspaper  
-Training - CSC courses in writing  
-Education - 2 years of college (particularly if in English, journalism, etc.) or a degree from a business school (if courses include writing)  
-----
- M -Above average S.A. (Factor 4)  
-Work experience which has involved writing on a variety of topics, but of a more routine nature e.g. secretary writing responses to employment inquiries, thank-you notes, etc.  
-Education - high school degree  
-----
- L -Average S.A. (Factor 4)  
-Work experience which has required limited writing, use of sample or fairly standardized memos and letters

Factor 5: Work habits and response to work situations

- Elements:
- ability to work under pressure
  - ability to meet deadlines
  - ability to establish and maintain effective work relationships with supervisors and co-workers
  - ability to accept constructive criticism and a willingness to learn from it
  - personal deportment and appearance
  - dependability

Basis of Evaluation:

Supervisory Appraisal (S.A.) - Factor 5  
Work Experience - 171 and Supplemental - Factor 5

Benchmarks:

- H -Superior S.A. in all elements under Factor 5  
-Work experience demonstrates high pressure situations and numerous deadlines e.g. work involving meeting deadlines for a newspaper, secretarial or typing work in a budget office etc. where there are frequently externally imposed deadlines, payroll clerks  
-----
- M -S.A. - Superior on half the elements/Above average on the other half  
-Work experience includes numerous deadlines and moderate pressure e.g. secretarial work at most division levels  
-----
- L -Average S.A.  
-Work experience involves little pressure e.g. clerical work with few tight deadlines to meet

APPENDIX F

\*PROPOSED TRAINING PLAN -- PERSONNEL MANAGEMENT SPECIALIST, GS-201-5/7

HOME BASE: DIVISION OF EMPLOYMENT AND POSITION MANAGEMENT -- When dates are not shown, that time will be spent on OJT in the Home Division.

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

\*Leeway has to be provided because of possible adjustments which may be made based on the availability of courses, cancellation of courses, and the progression of the employee on OJT ASSIGNMENTS.

UPWARD MOBILITY EVALUATION (Trainee)

APPENDIX 6

EVALUATION BY SUPERVISOR

Instructions - The immediate supervisor will evaluate the employee in training objectively, comparing him with other employees undergoing the same training with other personnel assigned the same or similar work, or with individual standards.

RELATIONS WITH OTHERS		ATTITUDE-APPLICATION TO WORK		JUDGEMENT	
EXCEPTIONALLY WELL ACCEPTED		OUTSTANDING IN ENTHUSIASM		EXCEPTIONALLY MATURE	
WORKS WELL WITH OTHERS		VERY INTERESTED & INDOUSTRIOUS		ABOVE AVERAGE IN MAKING DECISIONS	
GETS ALONG SATISFACTORILY		AVERAGE IN DILIGENCE AND INTEREST		USUALLY MAKES THE RIGHT DECISION	
HAS SOME DIFFICULTY WORKING WITH OTHERS		SOMEWHAT INDIFFERENT		OFTEN USES POOR JUDGEMENT	
WORKS VERY POORLY WITH OTHERS		DEFINITELY NOT INTERESTED		CONSISTENTLY USES POOR JUDGEMENT	
DEPENDABILITY		ABILITY TO LEARN		OVER-ALL PERFORMANCE	
COMPLETELY DEPENDABLE		LEARNS VERY QUICKLY		OUTSTANDING	
ABOVE AVERAGE IN DEPENDABILITY		LEARNS READILY		VERY GOOD	
USUALLY DEPENDABLE		AVERAGE IN LEARNING		ABOVE AVERAGE	
SOMETIMES NEGLECTFUL OR CARELESS		RATHER SLOW TO LEARN		AVERAGE	
UNRELIABLE		VERY SLOW TO LEARN		BELOW AVERAGE	
QUALITY OF WORK				MARGINAL	
EXCELLENT		CONSISTENTLY EXCEED REQUIREMENTS		UNSATISFACTORY	
VERY GOOD		FREQUENTLY EXCEEDS REQUIREMENTS			
AVERAGE		MEETS REQUIREMENTS		ATTENDANCE	
BELOW AVERAGE		FREQUENTLY BELOW REQUIREMENTS		REGULAR	
VERY POOR		CONSISTENTLY BELOW REQUIREMENTS		IRREGULAR	
				PUNCTUALITY	
				REGULAR	
				IRREGULAR	

WHAT TRAITS MAY HELP OR HINDER THE EMPLOYEE'S ADVANCEMENT?

REMARKS :

SUPERVISOR'S SIGNATURE

DATE

EMPLOYEE SIGNATURE (Your signature on this form indicates only that the evaluation discussion has taken place and that you are aware of the contents)

DATE



**UPWARD MOBILITY EVALUATION**

Instructions - Thirty (30) days after training and every ninety (90) days thereafter until training is completed, Supervisor/Manager and the Employee will discuss this evaluation and complete this form in four (4) copies. Distribution of copies will be: the original copy to the appropriate regional Personnel Office; 1 copy for the employee and 1 copy for the employee's folder maintained by Supervisor/Manager.

EMPLOYEE NAME	POSITION AND GRADE
PARK OFFICE	REPORTING PERIOD DATE FROM _____ TO _____
SUPERVISOR	TARGET POSITION

**EVALUATION BY EMPLOYEE**

1. DO YOU FEEL THE TRAINING PROGRAM IS ACCOMPLISHING ITS OBJECTIVES, AS THEY WERE STATED TO YOU?

2. PLEASE DESCRIBE BRIEFLY ALL CLASSROOM TRAINING, CORRESPONDENCE COURSES, SEMINARS OR MEETINGS WHICH YOU HAVE ATTENDED DURING THIS PERIOD.

3. DO YOU FEEL YOUR ASSIGNMENTS ARE INCREASING YOUR TECHNICAL KNOWLEDGE?

4. IN WHAT AREAS DO YOU FEEL YOU NEED FURTHER TRAINING?

COMMENTS