



# California Department of Human Resources

## *Guidelines for Administering Departmental Upward Mobility Programs 2017*



CALIFORNIA DEPARTMENT OF HUMAN RESOURCES

*Office of Civil Rights*

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# GUIDELINES FOR ADMINISTERING DEPARTMENTAL UPWARD MOBILITY PROGRAMS

## INTRODUCTION

The State of California's Upward Mobility (UM) program is a career mobility program designed to give state employees in low-paying occupations an opportunity to advance to more challenging, higher paying positions. Although UM is a joint venture between an employee and the department, it is also an important part of a department's overall employment, succession, and workforce planning efforts.

Departments are encouraged to review and incorporate the contents of these guidelines to develop an effective UM program for interested employees. A good place to begin is to have a clear understanding of not only the authority for UM, but the meaning of UM and the elements and components contained in an effective UM program. A checklist of actions and/or items which should be contained in a UM program plan is listed in Appendix A.

## AUTHORITY

- Government Code section 19401 requires each State department to have an effective UM program for employees in low paying occupational groups.
- Government Code section 19402 requires State departments to annually develop goals and timetables which include the number of employees in low-paying occupations expected to progress to entry-level technical, professional, and administrative positions and to furnish this data to the California Department of Human Resources (CalHR) each year.

## UPWARD MOBILITY

Upward Mobility is the planned development and advancement of employees from positions in low-paying occupations to entry technical, professional, and administrative positions within State departments. It is not, as commonly thought, the promotion of employees up through the ranks, from working level positions to supervisory and managerial positions. An UM program is one in which career opportunities are developed and will allow employees in low-paying occupations to develop and advance to their highest potential. An effective UM program should be administered in collaboration with a department's human resources, training and development, and workforce and succession planning programs.

Upward mobility is an important part of a department's overall employment program. It can:

- Aid in meeting a department's labor needs in jobs where recruitment is becoming increasingly competitive and difficult.
- Provide incentive and support to employee efforts to successfully move out of lower paying positions and into higher paying jobs.

- Assist the department's efforts to achieve a diversified workforce by increasing the number of qualified employees in entry technical, professional, and administrative positions.

## **Responsibility for Upward Mobility**

A successful UM program requires commitment and involvement from all levels within an organization and is a joint responsibility of the employee and the department. Employees must be motivated to seek out opportunities, prepare formal career development plans, and be willing to work hard to develop their knowledge, skills and abilities to become competitive for appointment to entry-level technical, professional, and administrative jobs. Although all employees are entitled to have a fair and equal opportunity to be considered for advancement, UM participants are not guaranteed promotion.

Each department or agency is ultimately responsible for the overall commitment to career development. Within its available monetary and staffing resources, a department must be an active participant in UM for its employees in low-paying occupations. This means developing and publishing training and job opportunities, establishing fair criteria for selecting employees to participate in UM activities, and providing assistance to employees in their career development efforts. To help ensure an effective program, departments are required to have a UM program coordinator to plan, coordinate, monitor and report on departmental UM efforts.

## **Program Review and Evaluation**

Departments may form a UM committee tasked with establishing and administering a UM program. The UM committee should be comprised of the individuals identified in the "roles and responsibilities" section below. Departments establishing a UM program should develop a process which explains how employees apply and are approved. The UM committee should consider broader program administration questions, such as:

- How can UM program participation be enhanced?
- Is funding adequate to support department needs?
- Is the department's current communications strategy about UM adequate to support its desired goal of UM participation?
- How often should the UM committee (if applicable) meet to evaluate and update the program?
- Does the committee approve each individual plan or delegate plan approval to the UM coordinator?
- What is the supervisor's role in employee upward mobility?

# DESIGNING A DEPARTMENT PROGRAM

## Upward Mobility Plan Elements

Department upward mobility program plans must contain certain elements. California Code of Regulations, title 2, section 599.983 requires each department to develop and maintain a written UM plan to include:

### ***Policy Statement***

A policy statement regarding a department's commitment to providing equal upward mobility opportunity for its employees in low-paying occupations. Below is an example of a policy statement:

*“It is the policy of this department to provide equal employment opportunities and the appropriate career ‘tools’ to facilitate upward movement for all qualified employees. This includes developing and setting goals and timetables that reflect the number of employees who are expected to transition from low-paying positions to entry-level technical/professional/administrative positions. It is also this department’s policy to provide information that will assist employees with achieving their individual career goals.*”

*Per California Code of Regulations, title 2, section 599.981, employees who qualify for upward mobility programs are ‘employees from positions in low-paying occupations to entry-level technical, professional, and administrative positions’.*

*However, no employee shall be guaranteed advancement; but rather all interested employees in low-paying occupations shall be given equal consideration to participate in upward mobility efforts based on the criteria set forth in this policy and any Upward Mobility Plan.”*

### **Program Components**

Government Code section 19401 requires departments to provide, “to the greatest extent possible” within their resources, opportunities (components) in their program for employees who meet established criteria and demonstrate the aptitude or potential for advancement.

An effective UM program should describe each component (i.e., career counseling, appropriate academic counseling, etc.) consistent with Government Code section 19401, and explain how employees may access the program and where information about the program may be obtained.

Below is a listing of UM program components and an example of how to detail them in a department plan and policy.

*“As stated in Government Code section 19401, our department will endeavor to provide, to the greatest extent possible, the following opportunities to employees selected for the upward mobility program:*

### Career Counseling

Career counseling using professional, administrative, and/or technical employees who can serve as career models. A course in group career counseling may be offered. Check with your department's training office to determine if group career counseling is available. Through the aid of career counseling, participants may be assisted in developing a career development plan. Supervisors and HR Offices can also assist with this endeavor.

### Appropriate Academic Counseling

Academic counseling is provided at the University and Community College Systems throughout California that assists students in planning their educational curriculum to meet their career goals.

### Training Opportunities

Training opportunities such as college programs may include release time at reduced cost or no cost to the employee and may be offered in geographically remote areas through cooperative arrangements with other departments and colleges. Refer to your department training policy for more details.

### Training and Development Assignment

Training and development assignment is the assignment of duties on a part-time or full-time basis for the purpose of training to either broaden an employee's skills and abilities in his or her present occupation, prepare an employee for a career in a different occupational field, or improve an employee's advancement potential.

### On-the-Job Training

On-the-job training (OJT), an alternative to formal classroom training, including formal and informal training sessions at the work site. (Appendix G – contains an example of an on the job training plan.)

### Job Restructuring

Job restructuring, including the development of career ladders and lattices, and modifications of requirements where barriers exist. **[Note:** This includes the establishment and use of bridging classifications.] For example, a department has a Staff Services Analyst (SSA) position and has the ability to downgrade that position to a Management Services Technician (bridging class to SSA) to assist with UM. Departments should work with their Human Resources Office to make this determination.

### **Roles and Responsibilities**

There are roles and responsibilities for the employee, the supervisor, the UM program coordinator, the personnel office, the training office, and the equal employment opportunity office, regarding the UM program. Examples of department roles and responsibilities for a UM program are outlined below:

### Employees

Employees have the greatest responsibility. Employees must take the initiative in identifying UM options and in advancing their career goals.

- Determine career interests, skills and abilities.
- Establish specific goals that develop career interests.
- Develop a Career Development Plan with supervisor's approval and assistance, per Cal. Code Regs., tit. 2, § 599.984(c).
- Maintain a satisfactory level of performance in their current job and in academic courses or training courses.
- Follow through with planned training activities to reach goals and complete a career plan.

### Supervisors

Supervisors have responsibility for:

- Providing approval, guidance and support with the employee's Career Development Plan.
- Helping employees identify skills and interests to determine career goals; assist with finding training that will provide desired abilities and skills.
- Assigning (when feasible) work to facilitate the employee achieving his or her Career Development Plan.

### Upward Mobility Coordinators

The Upward Mobility Coordinators, per Cal. Code Regs., tit. 2, § 599.982, have responsibility for:

- Implementing the department's UM program.
- Informing employees of UM selection criteria.
- Assisting employees or their supervisors with Career Development Plans and training options.
- Coordinating, monitoring, and reporting on department upward mobility efforts.

### Human Resources / Personnel Officers

Human Resources have responsibility for:

- Identifying UM and bridging classifications.
- Identifying possible career ladders.
- Facilitating the development of the UM program.
- Administering examinations in support of the UM program.

- Consulting (upon request) with supervisors and employees about appointment eligibility and employment mobility options within state service (i.e., rotations, training and development assignments, and job sharing).
- Communicating with UM Coordinator when appointments to low-paying classifications are made. This could be a monthly, quarterly, or semi-annual report of appointments.
- Providing information and resources on career development and opportunities.
- Conspicuously posting or publicizing UM development and job opportunities for a reasonable amount of time, per Cal. Code Regs., tit. 2, § 599.984(a).

### Training Offices

Training Offices have responsibility for:

- Helping with identifying training or educational institutions that may serve the educational needs of UM participants.
- Offering consulting services to managers and supervisors to assist them with identifying appropriate training solutions for their employees.

### Equal Employment Opportunity Officers

Equal Employment Opportunity Officers have responsibility for:

- Monitoring departments' compliance in having a UM program that is consistent with statutory and regulatory requirements.
- Serving in a consultative role on UM.

Departments have the flexibility to assign functions identified above to other roles consistent with Government Code section 19400 et seq. and Cal. Code Regs., tit. 2, § 599.890, et seq.

As a best practice, departments may also consider including other program areas which could contribute to a successful UM program such as:

- Workforce/succession planning staff - Identifying skills gaps within critical department classifications and provide that information to the department recruiter.
- Recruiter - Assist with identifying potential career ladders and meet with UM candidates to identify promotional career opportunities in the department.
- Budget analyst or officer – Able to identify funding for UM initiatives and training plans.

### ***Participation Criteria***

Participation criteria for selecting employees in low-paying occupations to participate in the UM efforts is described in Government Code section 19401 and further detailed in Cal. Code Regs., tit. 2, § 599.984.

It is important to inform employees of the selection criteria when they need to apply for participation in a departmental UM program. The overriding principle that must be followed is that each interested employee must have an equal opportunity to be considered for participation in the department's UM activities. This can be accomplished using standard training and job opportunity distribution methods. This does not mean, however, that all employees must be selected to participate. Departments may limit participation if done fairly. Fairness means clearly and prominently announcing upward mobility training activities and appointment opportunities to all potentially interested employees for a reasonable time period (minimum posting of job announcements is five working days) and using selection criteria that is as objective as possible and applied consistently.

The UM Coordinator/Committee will include the supervisor's input when making determinations for participation in the program. Some factors that may be considered in selecting employees for participation in UM programs include, but are not limited to the following:

- Department UM objectives - e.g., to increase participation in UM activities by a certain percentage, etc.
- Department staffing needs - UM programs can be focused on jobs with recruitment problems.
- Department available funds - Funds and other resources available for training and development of staff. The size of a department's budget and staff may impact the UM effort.
- Employee time status (e.g. permanent full time, intermittent, etc.) - An employee with permanent status may have priority over one without status; a full-time employee might have priority over a part-time, or intermittent employee, etc.
- Employee performance in current position - Departments do not have to select employees that are having performance problems in their current position.
- Employee motivation and potential for career advancement - Motivation of the employee to seek out upward mobility opportunities and to work hard to complete career development plans. Motivation may be demonstrated by past self-development efforts and current career plans and efforts to prepare for advancement that the employee has initiated. Career advancement potential (i.e., knowledge, skills, and abilities) may be measured through an assessment of how ready the employee is for advancement and how long it will require the person to become competitive for promotion through UM training efforts. This might be measured in an examination for a bridging class or screening interviews for participation in other UM activities.

- Relevance of the training – The UM activity’s relevance to the employee’s career goals. A department does not have to select an employee for training that is unrelated to his/her career development goal.

### **Data**

Data and information regarding the number of employees in low-paying occupations; career ladders, bridging classes, entry-level technical, professional, and administrative classes targeted for UM; and any planned UM examinations should be included.

### **Other considerations:**

#### Marketing the Upward Mobility Program

The UM program should be marketed to department staff through department newsletters or e-mail distribution, posting information on the department intranet site, or during employee/supervisor one-on-ones and staff meetings. However, consideration should be taken for employees with limited or no computer access to ensure equal opportunity to all employees. Onsite informational displays with contact information is one option for meeting their needs.

One method of recruiting UM candidates is providing a welcome letter to newly appointed employees in low-paying classifications, indicating the contact information of the UM Coordinator. In addition, Human Resources offices may consider providing a list of new employees to the UM Coordinator monthly, quarterly or semi-annually to assist with identifying eligible employees.

Annual reminders from department management should be sent to reinforce the department’s commitment to support employees in UM. Sample memorandums are included in this guide that can be used as a part of a department’s marketing strategy. Appendix I is an example commitment memo sent from department directors to supervisors and managers. Appendix J is an example of a memo sent to employees from supervisors/managers encouraging participation.

#### Upward Mobility Application

A good tool for marketing is a UM application. Employees must complete the UM application, obtain his/her supervisor's signature, and submit it to their department’s UM Coordinator. Employees will then be notified whether or not he/she has been selected to participate in the Department's UM program. Appendix E is an example of a UM application.

## **CAREER PLANNING FACILITATION**

Career planning may be a good starting point for an employee who is considering advancement to a more challenging, higher paying position. Career planning is a systematic analysis of an employee’s interests, skills, knowledge, education, and experience so that future career pursuits can be mapped out to the greatest extent possible. It can be a way of choosing jobs which best match an employee’s job skills and personal interests and can also assist an employee in selecting a job where the employee has the best chance of succeeding.

After an employee identifies his or her likes and dislikes in a job (e.g., working outside versus inside; no travel versus some travel; desk versus mobile job; work requiring manual dexterity or not; working with people or independently, etc.), the next step is to investigate and identify those potential career paths that coincide with the employee's skills, interests, and abilities. Career planning can be a valuable tool for employees who are striving to make a career change and can assist in pointing the employee in the proper direction.

## **Career Development Plan**

Completing a Career Development Plan will support the UM process and assist an employee in providing a means for growth and development in their current classifications and career advancement appointments. Eligible employees participating in UM programs are required to prepare a Career Development Plan, per Cal. Code Regs., tit. 2, § 599.984(c). The plan should outline the specific career objectives, the steps that will be taken to develop the employee's knowledge, skills and abilities, and the estimated timetable for promoting to an entry technical, professional or administrative position. The plan should be a cooperative effort between the employee and his/her supervisor, a delegated training officer from the department's training office (if appropriate), and other appropriate departmental representatives.

Participating employees must submit a Career Development Plan that is approved by their immediate supervisor and is submitted to the department's Upward Mobility Coordinator and/or the Upward Mobility Committee, who reviews the plan to ensure all of the required information is completed and that career goals and objectives are clearly identified.

If the participating employee does not maintain satisfactory performance on the job, or does not maintain good standing in academic or other training activities, the department may discontinue the Career Development Plan. Appendix F contains examples of Career Development Plans.

## **Mobility Options**

Employees in state civil service have a number of mobility options available to them to assist with achieving a satisfying state career. Such mobility options include training (both in-service and out-service); knowledge and use of bridging classifications and transfers between classifications; training and development assignments (T&D); transferring of employment list eligibility between departments (if appropriate); rotational assignments, etc. These mobility options are mentioned because they are most frequently used when facilitating a UM move within state civil service. When utilizing any of these options, keep in mind that the hiring manager or supervisor must approve the UM move. The Upward Mobility Coordinator and supervisor may want to explain each option clearly so that employees will be well informed before considering a specific mobility option. Departmental UM coordinators and committees should identify which options are available within their department and regularly determine if they are viable options in accordance with bargaining unit contracts and civil service rules, laws, and regulations.

### ***Planned Experience Program***

A planned experience program consists of a series of activities selected to give an employee specific experience to meet developmental goals. Assignments may be developed at the State level, department level or by managers and employees within a work unit. This may be a long-range assignment or a single opportunity. In any case, the plan should be in written form so that everyone concerned has a full understanding of what is involved and what is expected. The following examples are activities that might be included in a planned experience program:

1. Special projects or unusual assignments.
2. Task force or committee membership.
3. Understudy role (i.e., job shadowing)--working with someone in order to learn the job or specific tasks.
4. A supervisory experience, such as acting as the supervisor when a supervisor is on vacation, or out of the office for a short time.

If an employee is interested in participating in a planned experience program, refer them to their supervisor.

### ***Rotational Assignment***

A rotational assignment involves the voluntary movement of an employee from a current job assignment to another job assignment within his or her present classification. Rotations may occur within a small unit or between sections, divisions, or field offices and across departmental lines. A rotation agreement may or may not require an employee to return to his or her original position.

A rotational assignment can provide an employee with the opportunity to experience a variety of duties without changing classification. An employee will broaden his or her experience, gain additional technical or program knowledge, add depth and breadth to his or her skills and abilities and, in turn, increase his/her promotional opportunities.

### ***Lateral Transfer***

A lateral transfer is an option to consider if an employee is interested in a change from his/her current job. Transfers allow employees to move to different classifications that have substantially the same level of duties, responsibility, and salary. It is best to consult with the department's personnel office to determine the proper transfer eligibility.

### ***Training and Educational Opportunities***

All training is subject to constraints on available resources and depends upon available training funds, the number of employees taking classes and other training included in your department's training plan. Resources for meeting your department's training needs shall be allocated according to Cal. Code Regs., tit. 2, § 599.819, subsections: (1) Job Required, (2) Job Related, or (3) Upward Mobility and Career Related. Subsection 3 is the applicable training category for this program and is described below:

#### **Upward Mobility Training- Cal. Code Regs., tit. 2, § 559.817**

Upward mobility training is designed to provide career movement opportunity for employees within classifications designated as upward mobility pursuant to Government Code sections 19400 and 19401.

### ***Leave of Absence***

A leave of absence is another option available to an employee interested in advancing and/or changing his/her career. Pursuant to Government Code section 19991.2, a leave of absence may be granted to an employee seeking formal training or an intergovernmental assignment. Employees may request an unpaid leave of absence for up to one year to attend college or to take formal training (i.e., to upgrade skills; to accept a fellowship; or to complete a degree). During this time, an employee does not receive any pay, benefits, reimbursement, or service credits. Upon returning from an approved leave of absence, an employee has the right to return to the same classification held prior to the approved leave, or into a comparable classification (i.e., one into which the employee could have laterally transferred).

### ***Training and Development Assignment***

A Training and Development (T&D) assignment provides an opportunity to broaden skills and experience. A T&D assignment can improve the ability to perform the duties of a current assignment, help prepare for future promotions, or facilitate entry into a new occupational field. It also provides a process for the movement of low-paying employees into technical, professional, and administrative level positions by providing an opportunity to meet the minimum experience and education qualifications. A T&D assignment is a formal agreement between the employee, the current supervisor, and the new supervisor. The duration of agreements can vary from a few months to a maximum of up to two years.

In order to hire an individual on a T&D, the hiring manager must have a vacant position and be willing to allocate the extra time necessary for training purposes. From the employee's perspective, the primary consideration in accepting a T&D assignment is that the assignment is consistent with his/her career development plan and that it provides developmental experience.

A T&D assignment may be terminated at any time by the appointing power or the employee. Upon completion or termination of a T&D, an employee has a right to return to their former position. If the employee has learned new skills and has gained experience while on the T&D, often times he or she can successfully compete in examinations and may subsequently be appointed.

### ***Bridging Classifications***

Bridging classifications are developmental classifications designed to facilitate movement from sub-professional to professional and technical classifications. These classifications are an integral part of the UM program because they provide the opportunity to move, through lateral transfers and testing, to higher paying classifications with expanded career growth possibilities.

One example of a bridging classification is the Management Services Technician (MST). The MST is a bridge classification to Staff Services Analyst. The result is a

bridge from the clerical field to the analytical field. This option is further explained in more detail under the Career Paths and Career Ladders section of these guidelines.

### ***Job Sharing***

Another alternative to consider is to locate a part-time or intermittent position that will allow time for school, as well as for a job. Subject to management discretion, if the job duties of a position can be divided in such a way that more than one person can do them on a less than full-time basis, job sharing can be an alternative. Job sharing is another innovative personnel management tool that can be used to pursue educational opportunities, while maintaining a partial income.

### **Employee Withdrawal**

Occasionally an employee may elect to discontinue participation in the UM program. Department UM Coordinators are encouraged to communicate with the employee and assist with resolving any issues within reason that may possibly impede the employee's ability to effectively participate according to the UM plan. A good practice is to document the employee's discontinuation of the program and ensure all parties are notified.

## **CAREER PATH AND CAREER LADDER INFORMATION**

### **Bridging Classifications**

Bridging classifications are job classifications specifically established to provide experience for employees in lower paying occupations to enable them to meet the minimum qualifications for entry into technical, professional, and administrative classifications that provide opportunities for career advancement. Bridging classifications are an integral part of UM because they provide the opportunity to link, through lateral transfer and testing, the lower paying, limited opportunity classifications to better paying classifications with expanded growth potential. For example, an individual in an Assistant Clerk position qualifies as a person in a low-paying occupation. After one year of service as an Assistant Clerk, the individual can qualify to take an Office Assistant examination. After one year experience as an Office Assistant, Range B the individual can qualify for a Management Services Technician examination. Management Services Technician is a bridging classification that can meet the minimum qualifications for various entry technical, professional, or administrative classifications.

The most commonly used statewide bridging classifications that will enable an employee to meet the minimum qualifications (MQ's) for various future promotional examinations include the following:

<u>Bridging Classification</u>	<u>Schematic Code</u>	<u>Class Code</u>
Management Services Technician	JY40	5278
Budget Technician I	LF40	5221
Personnel Technician I	KY98	5160

## **Low-Paying Occupations**

Low-Paying Occupations do not necessarily have the lowest salaries, but are occupations (i.e., types of work) that have traditionally been low-paying, where there is little expectation of advancement to better paying technical, professional, and administrative jobs. Employees in these occupations must make special efforts and undergo specific training and career development preparation that is not a normal part of their work experience. California Code of Regulations, title 2, section 599.981(f) defines Low-Paying Occupations, the occupations in which employees are eligible to participate in the UM program.

## **Entry Technical, Professional, and Administrative Positions**

California Code of Regulations, title 2, section 599.981(g) defines Technical, Professional and Administrative Classifications, and section 599.981(d) describes entry positions in those categories, into which the UM program is designed to aid advancement from low paying classifications. These entry-level classifications are often referred to as UM classifications.

## **Career Ladders**

Departments are encouraged to establish career ladders and identify bridging classifications to provide UM opportunities. Career ladder information may be helpful for employees when looking at the various types of careers available in state civil service.

For example, if an employee has not yet selected a career field and is looking for helpful information relative to a particular career field, one possible starting point would be to obtain the classification specification for one or all of the various bridging classifications that are available in a department.

Classification specifications summarize the duties and responsibilities of a classification, provide examples of the work performed, and offer a breakdown of the classification's minimum educational and/or experience requirements. This classification information will give the employee additional information on a potential career option.

The department's Human Resources/Personnel Office should be consulted in determining departmental UM bridging classifications and the corresponding career ladders.

## **DEPARTMENT REPORTING RESPONSIBILITIES**

As required by Government Code section 19402 and further detailed in Cal. Code of Regs., tit. 2, § 599.985, departments must track Upward Mobility Program efforts including:

- The number of expected appointments of employees from qualified "low-paying" occupations to UM classifications;
- The number of employees in qualified "low-paying" occupations who are eligible for UM within the department/agency;

- The number of employees currently participating in the department's UM program;
- The number of appointments to UM classifications over at least a three-year period;
- The amount of money spent annually on UM efforts.

For additional information, please see the Workforce Analysis Manual produced by the CalHR Office of Civil Rights. Your department's staff person designated to prepare the workforce analysis may email [WorkforceAnalysis@calhr.ca.gov](mailto:WorkforceAnalysis@calhr.ca.gov) to obtain access to the manual located on the workforce analysis dashboard.

### **Establishment of Upward Mobility Goals**

Government Code section 19402 requires state departments to annually develop UM appointment goals and timetables and provide the data to CalHR. The projected goals and timetable data include the number of employees in low-paying occupations expected to progress to entry technical, professional, and administrative positions. Departments must base goals on an analysis of the past history of appointments to entry technical, professional and administrative positions, the number of anticipated appointment opportunities to those entry classes in the coming fiscal year, and the availability of qualified upward mobility candidates eligible for appointment. Department Equal Employment Opportunity Officers are responsible for completing the state's workforce analysis. For additional information on the process for setting UM goals, discuss with the EEO Officer and refer to the section on UM in the instructions for conducting the workforce analysis. The projected goal information established is provided to CalHR for approval as discussed below.

### **Approval of Upward Mobility Program Efforts and Goals**

Upward Mobility data is provided to CalHR's Office of Civil Rights for review and approval along with a department's annual workforce analysis. Included with the UM appointment goal data, a department must also submit a description of the actions it is taking, or will take, that demonstrate a good faith effort to comply with the UM requirements contained in Government Code section 19401. Departmental UM programs require positive action to develop and prepare employees in low-paying occupations for advancement to appropriate positions. Included in the information is the number of employees formally participating in the department's UM activities (e.g. the number in T & D assignments, the number receiving financial assistance from the department to take college courses, the number in bridging classes, etc.) and the amount and percentage of the department's training budget assigned for UM development activities.

CalHR will review each department's UM information and determine whether it appears the department is making a good faith effort to develop opportunities and to assist employees in low-paying occupations to develop and advance.

# **GLOSSARY**

## **Academic Counseling**

Counseling provided at the University and Community College Systems throughout California that assists students in planning their educational curriculum to meet their career goals.

## **Bridging Class**

A specialized classification established to facilitate the movement of individuals from low-paying to professional and technical classifications. These classes are an integral part of career ladders and UM programs.

## **Career Development**

Provides employees a means for growth and development in their current classification and an opportunity to work toward UM and career advancement.

## **Career Ladders**

For purposes of UM, these are the succession of job classifications in which employees may normally gain experience in order to advance from positions in low-paying occupations into technical, professional, or administrative positions.

## **Career Planning**

The systematic analysis of interests, skills, knowledge, education, and experience to determine future career pursuits to the greatest extent possible. Career planning assists employees in setting objectives needed to achieve their occupational goals.

## **Career-Related Training**

Training that is designed to assist in the development of career potential and is intended to help provide an opportunity for self-development while assisting in the achievement of a department's or the State's mission. Career-related training may be unrelated to a current job assignment.

## **Career Lattice**

A chart or diagram showing the different directions a career can move.

## **Class Title**

The official civil service title used when referencing a particular classification.

## **Classification Specifications**

These documents summarize the duties and responsibilities of a classification, provide examples of the work performed, offer a breakdown of the classification's minimum education and experience requirements, and will be useful in planning career development.

## **Entry Technical, Professional, and Administrative Positions**

For purposes of UM, these are entry-level positions to technical, professional and administrative classifications for which hiring is typically open to the public and into

which employees in the department's low-paying classifications may advance. These entry-level classifications are often referred to as UM classifications.

## **Goal**

The purpose or outcome toward which effort is directed.

## **Job-Related**

Knowledge, skills, abilities and experience relative to job experience. For purposes of training, it is training provided to increase the employee's proficiency in his or her current job or to prepare an employee for a job assignment planned in the future.

## **Job Required**

Training designed to assure adequate performance in an employee's current assignment or classification. This includes orientation training, training made necessary by new assignments or new technology, refresher training for the maintenance of ongoing programs, safety training, and training mandated by law or other state authority.

## **Job Restructuring**

For purposes of UM, this is a component of an effective UM program and includes the development of career ladders and lattices, and modification of requirements when barriers exist.

## **Lateral Transfer**

A transfer that allows an employee to move to different classifications that have substantially the same level of duties, responsibility, and salary.

## **Low-Paying Occupations**

For the purposes of UM, these are occupations that are traditionally low-paying and provide little advancement into technical, professional and administrative jobs, but are not necessarily the lowest salaries.

## **Minimum Qualifications**

The list of minimum education and experience requirements of a particular job class found in a classification specifications description. Information on specific license, credential, etc., requirements will also be included.

## **On-the-Job Training**

Training that is an alternative to formal classroom training, including formal and informal training sessions at the work site.

## **Out-Service Training**

Training sponsored by non-state agencies which is open to the public as well as persons employed by the State and sponsoring agencies. The State does not maintain control over course content. Such training includes courses or activities offered through accredited colleges and universities or conducted by private consultants, firms, or other non-state agencies.

## **Permanent Employee**

Permanent status upon lawful retention in his or her position after the completion of a mandatory probationary period.

## **Salary Range**

This means the range of rates between, and including, the minimum and maximum rate currently authorized for the classification.

## **Training and Development**

The assignment of duties on a part-time or full-time basis for the purpose of training to either broaden an employee's skills and abilities in his or her present occupation, prepare an employee for a career in a different occupational field, or improve an employee's advancement potential.

## **Upward Mobility**

The development and advancement of employees from positions in low-paying occupations to entry technical, professional, and administrative positions. Participation in UM efforts is not a guaranteed promotion but a fair and equal opportunity to be considered for advancement. It is a part of career-related training that specifically applies to employees who participate in the UM program.

## **Upward Mobility Coordinator**

The person(s) responsible for implementing the UM program, ensuring all employees have knowledge about and access to the program, and annually reporting the program accomplishments to CalHR.

## **Upward Mobility Program**

A program in which career opportunities are developed, published and assistance provided which will allow employees in low-paying occupations to develop and advance to their highest potential.

# Appendix A – Department Upward Mobility Plan Criteria Checklist

Below is a checklist departments can use to ensure Upward Mobility (UM) programs are consistent with state law, regulations, and policies.

Key items to include in UM program plans (guidelines):

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## California Code of Regulations, title 2, section 599.983 – Plan Elements

- Policy statement regarding appointing authorities commitment
- Description of this program consistent with Government Code section 19401
- Roles and responsibilities for the successful administration of the UM program
- Criteria for selecting employees as outlined in Government Code section 19401 and Cal. Code Regs., tit. 2, § 599.984
  - Staffing needs
  - Available funds or resources
  - Employee status in department (e.g. permanent, part time intermittent, etc.)
  - Satisfactory employee performance in current position
  - Employee motivation and potential for advancement
  - Relevance of training (relevance of upward mobility activity to employee’s career goal)
  - Specific department upward mobility objectives
- Number of employees in classifications and low paying occupations used by appointing authority; entry technical, professional, administrative classes targeted for UM and planned UM exams.
- Disclaimer consistent with Cal. Code Regs., tit. 2, § 599.984(c), which states that “No employee shall be guaranteed advancement...”

---

## Government Code section 19401 – Program Elements

- Components of an effective UM program:
  - Career counseling using individual professional, technical, and administrative staff who can serve as mentors, role models, etc.
  - Group career counseling
  - Was the department’s workforce planning needs considered (growing occupations or where the department’s greatest needs are)? Consider talking to your department’s workforce planning officer or contact CalHR’s workforce planning division.
  - Appropriate academic counseling.
  - Training opportunities such as college programs related to special training programs. Provide information on:
    - Adult education centers
    - Community college listings
    - California State University (CSU) / University of California (UC) campuses that provide training
    - T&D assignments
    - On-the-Job Training

- Job restructuring including job career ladders and lattices and modifications of requirements where employment barriers exist.
- Academic release time at reduced or no time to employees and may be offered at other departments or academic institutions. Academic release time provides employees with time off to pursue educational goals related to their career development plan, per Government Code section 19401(c).
- Training reimbursement per reference Cal. Code Regs., tit. 2, § 599.819

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**Other things to include:**

- Career Development Plan template (Appendix F)
- Best practices
  - Develop an UM participation application (Appendix E)
  - Identify low paying and UM classes as indicated in the workforce analysis
  - Provide examples of career ladders in the UM environment (i.e. – person going from OT to SSA)
  - Explain the requirements of job descriptions
  - Explain state hiring and promotional practices
  - Identify resources to help UM candidate with UM process
  - Develop an annual UM budget
  - Perform targeted outreach to all appropriate department employees (Appendix I and Appendix J)
  - Provide direction for UM coordinators to provide career counseling
  - Provide program introduction letter to newly appointed employees in low-paying classifications
  - Establish process by which HR notifies UM Coordinator of appointments to low-paying classifications. This can be done monthly, quarterly or semi-annually to assist with identifying eligible employees.
  - Create an UM Committee (where feasible)
  - Authorities Page (Government Code, California Code of Regulations, etc.)
  - Resource Page (College website information, training forms links, department website/intranet information, CalHR website link information, etc.)

# Appendix B – Department Upward Mobility Program Coordinator Checklist

## <Department> UPWARD MOBILITY PROGRAM COORDINATOR CHECKLIST

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### SECTION 1 – BEFORE YOU MEET WITH EMPLOYEE

- Become familiar with low paying classifications used in your organization. This information can be found in Report #3, located on CalHR's website under Civil Rights or on the WFA 05 worksheet from your department's workforce analysis.
  - Review low-paying classifications and upward mobility classifications:
    - Review accuracy of information for your department
    - Verify the employees eligible for the program because of the classification in which they are currently appointed
    - Obtain individual names from personnel and employee supervisors
  - Contact supervisors and provide:
    - Overview of UM policy
    - Department's UM handbook/guide
    - UM application for participation
    - Name of UM Coordinator
- 

### SECTION 2 – PROVIDING CAREER COUNSELING

- Provide application to employee and review with supervisor and committee when received
- Provide approval information to applicant and supervisor. If disapproved, note on application and discuss with applicant and supervisor
- Schedule meeting with applicant and supervisor to begin career counseling:
  - Discuss program policy, guidelines and expectations
  - Review and discuss Career Development Plan form
    - Discuss each area of expected completion
  - Discuss employee career goals
  - Discuss mobility options, career ladders, answer questions where necessary
  - Schedule follow up visit once plan is completed and signed off
- Contact training coordinator and supervisor to determine time frames of anticipated training/education opportunities
- Meet with applicant and supervisor to review plan
  - Completed and approved plans – discuss training options in detail, coursework, training registration information
- If approved, discuss plan and mobility designations (training, college coursework, T&D, etc.).
- Determine if further counseling is desired. Employee may choose to continue working on plan without assistance. If employee chooses to have follow-up and accountability:
- Calendar to follow up with employee
  - On track? Any concerns?
  - Is the employee actively participating?

# Appendix C – Department Upward Mobility Program Checklist for Supervisors

## <Department> UPWARD MOBILITY PROGRAM CHECKLIST FOR SUPERVISORS

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### SECTION 1 – PROGRAM KNOWLEDGE

- Understand the department's Upward Mobility (UM) program, policies, and procedures
- Become familiar with low-paying classifications used in your program. This information can be obtained from your department's Human Resource staff, and the UM Coordinator
- Review low-paying classifications and UM classifications:
  - Verify the number of employees in your unit/program that are eligible to participate
  - Verify employee names from personnel
- Contact eligible employees and provide:
  - UM policy and the UM application for participation
  - Opportunity to meet to discuss career goals
  - Name of UM Coordinator

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### SECTION 2 – PROGRAM ASSESSMENT

- Consult with Human Resources to determine what options are available such as reclassifying a low-paying classification for upward mobility purposes
- Examine opportunities for potential Training and Development assignment within your program or department
- Examine opportunities for on-the-job training opportunities within your program or department
- Examine opportunities for job restructuring within your program or department

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### SECTION 3 – SUPPORT AND CAREER COUNSELING

- Review the UM application with the UM Coordinator and approve/deny
- Meet with the employee and the UM Coordinator to discuss career goals/options, program opportunities, the UM application process, training opportunities, and career counseling
- Meet with employee and UM Coordinator to develop and create the Career Development Plan
- Approve/deny the Career Development Plan with UM Coordinator
- Support the approved Career Development Plan through funding for training and flexible work schedules

---

### SECTION 4 – MONITOR SUCCESS

- Meet with the employee monthly/quarterly to review plan, monitor progress, and provide support and guidance throughout the process
- Meet with the UM Coordinator and employee every six months to monitor progress
- Report any participants who have successfully completed a UM Career Development Plan to the UM Coordinator and/or the EEO Office for reporting requirements to CalHR through the annual Workforce Analysis

## Appendix D – Sample Upward Mobility Tracking Form

### UPWARD MOBILITY PROGRAM TRACKING FORM <Department Name> <Year>

Date	Employee Name	Classification	Goal Classification	Supervisor Name	Date Application Submitted	Approval Date	Plan Date	Personnel Guidance/Training Coordination Referral	Follow-Up Date	Outcome/Notes
<b>Totals</b>										

**Note:**

The example above uses a Microsoft Excel spreadsheet to capture tracking of UM participants from the time an application is submitted through plan completion (where applicable) during the calendar year. Department UM Coordinators may find this helpful to maintain communication with all parties and keep an organized listing of all departmental UM participants. Totals captured within the tracking document may also be used for Annual Workforce Analysis and UM goal reporting.

## Appendix E – Sample Upward Mobility Application

### UPWARD MOBILITY APPLICATION – REQUEST FOR PARTICIPATION

**Instructions:** Employee completes the Upward Mobility Application, obtains his/her supervisor's signature, and submits to the Upward Mobility Coordinator or Committee. Employee will be notified whether he/she has been selected to participate in the Department's Upward Mobility Program.

#### EMPLOYEE INFORMATION

Name: \_\_\_\_\_ Division/Section/Unit \_\_\_\_\_

Current Classification: \_\_\_\_\_

Please tell us about your interest in Upward Mobility, explain why you wish to participate and include your career goals.

Employee signature: \_\_\_\_\_ Date: \_\_\_\_\_

#### SUPERVISOR APPROVAL

I have reviewed the request for participation in the <department>Upward Mobility Program and verify that the employee meets eligibility criteria.

Supervisor signature: \_\_\_\_\_ Date: \_\_\_\_\_

---

#### ***THIS SECTION FOR USE BY UPWARD MOBILITY COORDINATOR ONLY***

- Approved
- Denied

Reason for approval or denial:

Upward Mobility Coordinator Name \_\_\_\_\_

Signature \_\_\_\_\_ Date: \_\_\_\_\_

# Appendix F – Career Development Plan/Sample 1

## Sample Career Development Plan

### Employee Information

Name \_\_\_\_\_ Division/Unit \_\_\_\_\_

Classification \_\_\_\_\_ Work telephone (include area code) \_\_\_\_\_

### **Career Goal**

Short range – limit to two years

Long range – limit to five years

### **Plan for Achieving Goal**

List steps planned to achieve goal, i.e., special assignments, training and development assignments, etc.

Estimated timetable for promoting to an entry technical, professional or administrative position.

Estimated plan resources and cost needs:

Employee Signature \_\_\_\_\_

Date \_\_\_\_\_

Supervisor Signature \_\_\_\_\_

Date \_\_\_\_\_

Upward Mobility Coordinator  
Signature \_\_\_\_\_

Date \_\_\_\_\_

Upward Mobility Committee (or delegated committee representative [optional])

Signature \_\_\_\_\_

Date \_\_\_\_\_

# Appendix F – Career Development Plan/Sample 2

## Career Development Plan

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EMPLOYEE NAME:

JOB CLASSIFICATION:

TELEPHONE:

DIVISION:

UNIT:

PLAN PERIOD:

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1. EMPLOYMENT GOALS (CIVIL SERVICE CAREER)

ACTION PLAN/TIMELINES

2. EDUCATIONAL GOALS

ACTION PLAN/TIMELINES

3. PERFORMANCE GOALS

ACTION PLAN/TIMELINES

4. SUPERVISOR COMMENT/SUGGESTIONS

ACTION PLAN/TIMELINES

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*Employee*

*Signature*

*Date*

*Supervisor Name*

*Signature*

*Date*

*Division Director Name*

*Signature*

*Date*

*Upward Mobility Coordinator Name*

*Signature*

*Date*

## Appendix F – Career Development Plan and Worksheet/Sample 3

**Note:** The instructions contained within this document apply only to the corresponding sample template of this section.

### Creating a Career Development Plan

Once you have identified a classification of interest, you will be able to develop a career plan. A well thought-out and organized career plan makes achieving your career goal less daunting and will help to ensure that the goal you have set is both realistic and achievable.

The information below explains what type of information should be gathered and recorded in each section of the career plan. You may utilize the example to assist with completing the blank career plan.

### Career Plan Worksheet Instructions

**Goal:** Indicate your specific career goal. This could be a short term goal (i.e., the next classification in a promotional path) or a long term goal (the classification from which you wish to retire). For purposes of this plan, your goal should be a specific classification you want to work in within state service.

**Current Education:** List your current education. Also list dates and location where education was completed. For example: Gerontology Associate in Arts Degree completed May 2010 at American River College.

**Required Education:** Any education (formal or informal) needed to reach your ultimate career goal. Once you have identified a classification of interest, education requirements of each classification are outlined in the Department of Human Resources' classifications specifications for each state service classification. These specifications are located under the "Tools" section of [www.jobs.ca.gov](http://www.jobs.ca.gov).

**Current Skills/Experience:** Any and all skills and experience you have that are relevant to your career goal. For example: Can type 45 words per minute and worked as an office manager at Fictitious Company for ten years.

**Required Skills/Experience:** Any additional skills or experience needed to meet career goal. As with required education, the classification specifications list any required skills and experience for each classification. For example: proficient in Excel, Word and Outlook.

**Steps:** Each step should be what you need to do to move toward your career goal. The more detailed you are, the less likely you will be to miss an important step in the process. While only five steps are listed in the blank template, most likely you will need to complete more than five steps to achieve your career goal.

**Target Completion Dates:** Write down a target date for each step in your career process. Having a set date helps you to prioritize action items and to keep on track to achieving your career goal.

CAREER PLAN WORKSHEET

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Employee Name: \_\_\_\_\_ Date: \_\_\_\_\_

Current Classification: \_\_\_\_\_

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Goal:

Current Education:

Required Education:

Current Skills/Experience:

Required Skills:

**Step 1:**

Target Completion Date:

**Step 2:**

Target Completion Date:

**Step 3:**

Target Completion Date:

**Step 4:**

Target Completion Date:

**Step 5:**

Target Completion Date:

## Appendix G – On the Job Training (OJT) Action Plan – INSTRUCTIONS

OJT Action Plan Template (landscape for printing purposes)

*The purpose of this document is to instruct the OJT trainer on how to complete this form – Refer to the italicized language below when completing this document.*

**Trainee Name:** *Trainee's name* **Current Classification:** *Civil Service Classification* **Working Title:** *Working title if differs from current classification*

**Upward Mobility Classification Goal:** *Entry-level classification in either Technical, Professional or Administrative Classifications*

**OJT Trainer Name:** *Enter OJT trainer's name* **Classification:** *Civil Service Classification* **Working Title:** *Working title if differs from classification*

**OJT purpose:** *This section identifies the OJT's purpose or objective, identifies the UM classification goal, what is being trained, and why is it being trained.*

<b>Start and end date and time:</b> <i>What date(s) was the OJT provided.</i>	<b>Training Topics:</b> <i>These are the topics that need to be trained on. This information can be taken from a job specification, duty statement, procedural manual, or other sources.</i>	<b>Training steps and method:</b> <i>These are the steps used to train each topic and identify what tasks the trainer used to validate the trainee has learned each step.</i>	<b>Total hours used to train this topic:</b> <i>How many total hours were spent training on each topic? Use the information in the "Start an end date and time" column to complete this.</i>
--	--	--	--

**Total amount of time spent on OJT:** *What are the total hours spent on the OJT?*

**Comments about the OJT:** *This is the area where trainers can comment about the OJT, identify the tools used to provide the training, and the next steps for the trainee and the supervisor.*

At the conclusion of the OJT, the trainee and trainer must sign below to certify the training is completed. A copy of this document must be provided to the employee and included in the employee's training file.

**Trainee Signature:** *Trainee signature*

**Date:** *Date trainee signed this document at the OJT's conclusion.*

**Trainer Signature:** *Trainer signature*

**Date:** *Date trainee signed this document at the OJT's conclusion.*

**Upon conclusion of the OJT:** The supervisor below has discussed this document with the trainee and the trainer and the supervisor understands the trainee's performance level.

**Supervisor Name:** *The trainee's supervisor name*

**Signature:** *The trainee's supervisor signs after discussing the OJT with the trainer and trainee.*

**Date:** *Date supervisor signed this document at the OJT's conclusion.*

## Appendix G – On the Job Training (OJT) Action Plan – SAMPLE

OJT Action Plan Template (landscape for printing purposes)

*The purpose of this document is to instruct the OJT trainer on how to complete this form – Refer to the italicized language below when completing this document.*

**Trainee Name:** Jane Doe                      **Current Classification:** Personnel Specialist                      **Working Title:** \_\_\_\_\_

**Upward Mobility Classification Goal:** Entry-level classification in either Technical, Professional or Administrative Classifications

**OJT Trainer Name:** Trish Talented                      **Classification:** Staff Services Manager II                      **Working Title:** Personnel Officer

**OJT purpose:** *The purpose of this OJT is to document Jane’s training as identified in the “Training Topics” section below.*

<p><b>Start and end date and time:</b> <i>2/1/2015</i></p> <p><b>Training Topics:</b> <i>Process personnel transactions</i></p>	<p><b>Training steps and method:</b> <i>Trainer provided training on how to navigate State Controller’s Office (SCO) computer system and how to key master payroll exceptions.</i></p>	<p><i>Task performed to validate learning. Trainee successfully keyed master payroll into SCO’s computer system.</i></p>	<p><b>Total hours used to train this topic:</b> 3</p>
<p><b>Start and end date and time:</b> <i>2/18/2015</i></p> <p><b>Training Topics:</b> <i>Disability Leave Requests</i></p>	<p><b>Training steps and method:</b> <i>Trainer provided training on how to process Non-industrial Disability Insurance (NDI) leave requests. Task performed to validate learning. Trainee was provided with a</i></p>	<p><i>mock NDI claim. They successfully analyzed the key points and recommended whether leave was warranted based on claim information submitted.</i></p>	<p><b>Total hours used to train this topic:</b> 1</p>
<p><b>Start and end date and time:</b> <i>3/5/15</i></p> <p><b>Training Topics:</b> <i>Monthly attendance</i></p>	<p><b>Training steps and method:</b> <i>Trained monthly attendance reconciliation. Task performed to validate learning. The trainee successfully reconciled monthly attendance for two CalHR programs. The trainee</i></p>	<p><i>was shown how to enter leave into SCO’s system. Task performed to validate learning. Supervised the trainee successfully entering leave into SCO system.</i></p>	<p><b>Total hours used to train this topic:</b> 2</p>

<p><b>Start and end date and time:</b> 4/16/15</p> <p><b>Training Topics:</b> Information Dissemination</p>	<p><b>Training steps and method:</b> The business services office provided training to the trainee on mail dissemination. Task performed to validate learning. The business services office had the trainee sort and distribute a box of mail, which was successfully distributed to the Personnel Office staff. I</p>	<p>provided the trainee with a folder which shows how orientation packages should be assembled. Task performed to validate learning. Trainee successfully assembled 30 orientation packages for September's New Employee Orientation.</p>	<p><b>Total hours used to train this topic:</b> 3</p>
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<p><b>Start and end date and time:</b> 4/19/15</p> <p><b>Training Topics:</b> Records Retention</p>	<p><b>Training steps and method:</b> Reviewed the records retention schedule with the trainee. Task performed to validate learning. The trainee sorted 10 years of records into purge and archive boxes. A random check of both boxes indicated a moderate level of errors. I reviewed the employee records retention schedule with the</p>	<p>trainee again and cleared up any questions. The trainee was shown the contact information for having files delivered to archives and was provided a job aid show the steps involved in picking up archive boxes. Task performed to validate learning. The trainee successfully scheduled archived files to be picked up.</p>	<p><b>Total hours used to train this topic:</b> 3</p>
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**Total amount of time spent on OJT** **12 hours**

**Comments about the OJT:** This is the area where trainers can comment about the OJT, identify the tools used to provide the training, and the next steps for the trainee and the supervisor.

At the conclusion of the OJT, the trainee and trainer must sign below to certify the training is completed. A copy of this document must be provided to the employee and included in the employee's training file.

**Trainee Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Trainer Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Upon conclusion of the OJT:** The supervisor below has discussed this document with the trainee and the trainer and the supervisor understands the trainee's performance level.

**Supervisor Name:** \_\_\_\_\_ **Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

## Appendix H – Sample Policy Statement Language

*“It is the policy of this department to provide equal employment opportunities and the appropriate career ‘tools’ to facilitate upward movement for all qualified employees. This includes developing and setting goals and timetables that reflect the number of employees who are expected to transition from low-paying positions to entry-level technical/professional/administrative positions. It is also this department’s policy to provide information that will assist employees with achieving their individual career goals.*

*Per California Code of Regulations, title 2, section 599.981, employees who qualify for upward mobility programs are ‘employees from positions in low-paying occupations to entry-level technical, professional, and administrative positions’.*

*However, no employee shall be guaranteed advancement; but rather all interested employees in low-paying occupations shall be given equal consideration to participate in upward mobility efforts based on the criteria set forth in this policy and plan.”*

## Appendix I – Sample Email Message From Director to Managers and Supervisors

From the Director:

As part of <department's> commitment to actively build and maintain a talented and diverse workforce, I wish to remind all managers and supervisors of the importance of engaging employees who wish to seek growth potential through our Upward Mobility Program and help them achieve their full career potential. Well-developed employees make our department strong.

Upward Mobility (UM) is the planned development and advancement of employees from positions in low-paying occupations to entry technical, professional, and administrative positions within state departments. Mobility opportunities such as training, rotational assignments, education, and Training and Development Assignments should be explored. California Code of Regulations, title 2, section 599.983 provides that our department maintain an administrative program plan and assist qualified employees who wish to set career goals through upward mobility to design career development plans that aid in achieving success. Our department is also required to report UM goals and participation measures in our annual workforce analysis submitted to CalHR.

All managers and supervisors should review <department's> UM policy and plan for program familiarity. Supervisors should make the information available to staff members and always be aware of potential participants. Whether you provide the information by email, during staff meetings, or your one-on-one meetings with employees, it is important that we as a department exercise diligence to disseminate UM information to employees on a regular, timely basis and encourage participation.

All qualified applicants must receive equal consideration for employment without regard to age, ancestry, color, disability (mental or physical), gender, gender identity or expression, genetic information, marital status, medical condition, military or veteran status, national origin, political affiliation, race, religion, sex (including pregnancy, childbirth, breastfeeding and related medical conditions, and sexual orientation). I appreciate your cooperation and assistance in ensuring our employees receive support to move forward in their career goals.

For more information about UM, please contact <department's> UM coordinator at ##### or <email>.

Thank you,

Director

\*Attach department policy and UM plan

## **Appendix J – Sample Email Message From Supervisors or Managers to Staff**

As a reminder to <department> staff, our Upward Mobility (UM) Program is available to those who qualify for participation.

The State of California's Upward Mobility program is designed to give state employees in low-paying occupations an opportunity to advance to more challenging, higher paying positions.

<Department> strives to ensure qualified applicants are recruited from all areas of the workforce and that equal opportunity is afforded to all employees for employment and promotional advancement without regard to age, ancestry, color, disability (mental or physical), gender, gender identity or expression, genetic information, marital status, medical condition, military or veteran status, national origin, political affiliation, race, religion, sex (including pregnancy, childbirth, breastfeeding and related medical conditions), and sexual orientation.

<Department> is committed to helping employees achieve their full career potential and UM is a means by which that can happen. We recognize that helping our employees in their career development will make our department stronger. Attached is our department policy and information regarding UM.

If you are interested in learning more about UM and how it may assist you with achieving your career goals, please notify me so we may meet to discuss those goals in more detail. Once we have discussed UM options, you are encouraged to schedule an appointment with our department's UM Coordinator, <name>, to begin the process of exploring your career opportunities.

Thank you,

Supervisor/Manager

\*Attach department UM plan (guide)