The proponent of this regulation is DCS, G-1 (DAPE-CP).

This Army regulation contains the following chapters:

Chapter 920: Senior Executive Service

Chapter 930: Motor Vehicle Operators

Chapter 971: Training, Promotion, and Executive Development Agreements

Chapter 981: Delegation of Personnel Authorities

The above noted chapters contained herein denote current Army policy in support of Civilian Personnel as specific to the areas cited. These chapters are currently undergoing review and revision and are in the process of being incorporated into other Army regulations.

In the interim, however, stated policy in these available chapters is current and applies to all Army Civilian Personnel.
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- 900:
CIVILIAN
PERSONNEL
- GENERAL
AND
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Chapter
920
SENIOR
EXECUTIVE
SERVICE

Chapter
930
MOTOR
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SUBCHAPTER 1. GENERAL PROVISIONS

1-1. Purpose. The purpose of this regulation is to implement a Senior Executive Service (SES) in the Army which will:

a. Establish a compensation system, including salaries, benefits, and incentives, and for other employment conditions designed to attract, develop, and retain highly competent senior executives:

b. Relate compensation, retention, and tenure with executive effectiveness based on individual and organizational performance;

c. Make senior executives fully accountable and responsible for the effectiveness and productivity of personnel under them;

d. Protect senior executives from arbitrary and capricious actions;

e. Maintain a merit system free of prohibited personnel practices;

f. Ensure compliance with all applicable civil service laws, rules, and regulations; and

g. Provide for systematic development of senior executives.

1-2. Applicability. The Army Senior Executive Service comprises all civilian positions, formerly in grades GS-16, 17, or 18 of the General Schedule and in Levels IV or V of the Executive Schedule and equivalent positions which are not filled by Presidential appointment by and with the advice and consent of the Senate, and in which employees:

a. Direct the work of an organizational unit;

b. Are accountable for the success of one or more specific programs or projects;

c. Monitor progress toward organizational goals and periodically evaluating and making appropriate adjustments of such goals;

d. Supervise the work of employees other than personal assistants, or
e. Exercise policy making, policy determining, or other executive management functions.

1-3. Definitions.

a. Appointing authority. The authority of the Secretary of the Army to employ, classify positions, effect position and pay changes, and to suspend, furlough, and separate civilian employees. When referred to as "the appointing authority" in this regulation, it means the Secretary of the Army or an individual who has been delegated the authority to employ civilian employees.

b. Appointing official. An individual exercising delegated appointment authority.

c. Army Executive and Professional Development Committee. A committee established to review nominations of civilian executives and managers for competitive training and development opportunities. The committee comprises representatives from each of the offices of the Assistant Secretaries of the Army, the Deputy Chief of Staff for Personnel, and Chief of Staff, US Army. The committee reports to the Civilian Executive Resources Board.

d. Civilian Executive Resources Board (CERB). A Headquarters, Department of the Army board established under the provisions of the Civil Service Reform Act which is responsible for policy and implementation decisions pertaining to executive compensation, performance appraisal/awards, employment, and executive development.

e. Critical element. Any major job element of the position (see j below) which is sufficiently important that inadequate performance may outweigh acceptable performance in other aspects of the position.

f. Delegation of authority. The act of delegating appointing authority through the chain of command. Any official delegating such authority always retains full accountability for exercising that authority.

g. Executive rating scheme. A document maintained for each senior executive containing the following information:

(1) The rating period;
(2) The supervising official;
(3) The Performance Review Board; and
(4) The rating official.

h. Higher executive level. An organizational level within Army above and in the line of authority over the rating Official.

i. Individual Development Plan (IDP). A plan prepared for senior executives and SES candidates based upon needs to improve or develop executive capabilities and to prepare them for assuming greater responsibilities.

j. Major job element. A major duty or responsibility of an executive's position.

k. Performance appraisal. The periodic comparison of a senior executive's performance of duties and responsibilities with performance requirements established for the position in compliance with an appraisal system.

l. Performance requirement. A description of the minimum level of accomplishment necessary for fully successful performance. Performance requirements are expressed in terms of objectives, specific actions, project assignments, or other qualitative and quantitative standards related to major job elements.
m. Performance Review Board (PRB). A board which reviews initial performance appraisals of senior executives and which makes recommendations regarding appropriate rating levels and eligibility for performance awards.

n. Rating official. An individual exercising delegated authority to assign final performance rating levels and grant performance awards.

o. Rating period. The period of time, normally 1 year, but not less than 120 days, for which a senior executive will be appraised.

p. Sabbatical. A period of planned study or work designed specifically to develop and enhance the capabilities of the executive.

q. SES candidate. An individual selected through competitive procedures for systematic training and development for potential assignment to an SES position.

r. SES candidate adviser. A senior executive designated to assist supervisors and SES candidates in preparing an Individual Development Plan, accomplishing planned training and development, and evaluating results of the training.

s. Supervising official. An official responsible for direct supervision of one or more senior executives.

t. Performance rating levels. Various rating levels of fully successful and less than fully successful performance to be used in performance appraisal. Department of the Army performance rating levels are defined in appendix D.

u. Convening official. The commander of a major command or organization having a performance review board. Convening officials appoint performance review board members.

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SUBCHAPTER 4. COMPENSATION

4-1. General. The compensation an executive may receive may not exceed that payable to officials in Executive Level I.

a. Compensation considered when computing the amount paid to an executive in any fiscal year will be that received from:

   (1) Basic pay rate including the salary paid as a result of an adjustment of basic pay rate.

   (2) Monetary performance awards; and

   (3) Executive ranks.

b. Compensation not considered when computing the amount paid to an executive in any fiscal year will be that received from:

   (1) Awards paid under section 4503 of title 5, United States Code which are agency awards (i.e., Special Achievement Awards); and

   (2) Awards paid under section 4504 of title 5, United States Code which are Presidential awards but do not include executive ranks.
4-2. Basic pay rates. a. Appointing officials are authorized to adjust the base pay rate of senior executives in accordance with the following guidelines:

(1) General. Except for any pay adjustment under 5 USC 5382, the basic pay rate for any senior executive may not be adjusted more than once during any 12 month period.

(2) Promotions. Individuals who are promoted into SES positions from GS-15 positions will receive an increase of at least 6 percent.

(3) Other actions. In each of the cases below, the individual will be placed at that level of the SES that the appointing official determines appropriate in accordance with Office of Personnel Management (OPM) criteria.

(a) Appointments. A candidate initially appointed to the SES from outside the Federal Government.

(b) Reinstatements. Former SES members who are reinstated.

(c) Transfers. SES members from other Federal agencies who transfer into the Department of the Army.

(d) Reassignments. When an individual is reassigned from one SES position to another, consideration may be given by the appointing official to increasing the rate of basic pay. Each case will be assessed individually, considering particularly the responsibilities of the new SES position as compared to related positions in the activity and higher headquarters.

(e) Adjustments to rate of basic pay. The executive's rate of basic pay may be raised to another rate of the Executive Schedule (ES) based on his or her performance appraisal or such other operational considerations as the appointing official deems appropriate. Conversely, the salary level of an SES member may be reduced not more than one ES level per year. In any event where a career appointee's pay is to be reduced, he/she must be given an advance written notice of at least 15 calendar days before the effective date of the reduction.

b. The Civilian Executive Resources Board (CERB) is authorized to establish additional guidance and instructions pertinent to pay rates that are deemed necessary to assure compliance with the spirit and intent of the Civil Service Reform Act.

4-3. Performance compensation. a. General provisions

(1) The Civil Service Reform Act provides the authority for compensating executives for excellence in performance. It is a managerial responsibility to choose which of the various forms of compensation is the most appropriate means for rewarding executive performance.

(2) It is the policy of the Department of the Army that the SES compensation system will be used to encourage and reward managerial excellence and performance.

(3) Compensation methods available include monetary performance awards, special achievement awards, and adjustment of basic pay rates. Executives may receive compensation through any of these methods in a 12-month period as long as it is not the same specific act that is being recognized. A career executive rank which, in addition to that received from a performance award
or basic pay adjustment, is subject to the general limitation (i.e., Executive Level I) on executive compensation. (See fig. A-3.)

b. Performance awards (bonus).

(1) **Purpose.** The purpose of the Army SES Performance Award System is to provide top management with a tool to use in coordination with other components of the SES compensation system for motivating and rewarding excellence in the performance of career senior executives.

(2) **Applicability.** Performance awards (bonus) may be paid only to career appointees in the SES.

(3) **Responsibilities.**

(a) The CERB, acting for the Secretary of the Army, is responsible for allocating performance award ceilings to HQDA (the Army Secretariat and the Army Staff, to major commanders with SES positions within their commands, and to the consolidated command Performance Review Board.

(b) The Secretary of the Army, as the appointing authority for the Army Secretariat, or the Secretary's designee, may delegate authority for granting performance awards to appropriate individuals within the Army Secretariat.

(c) The Chief of Staff, US Army, as the appointing authority for the Army Staff, or the Chief's designee, may delegate authority for granting performance awards to appropriate officials within the Army Staff.

(d) Major commanders are authorized to:

1. Reallocate performance award ceilings as they deem appropriate to subordinate commanders with senior executive positions; and

2. Redelegate to appropriate subordinate commanders authority to grant performance awards.

(e) Supervisors are responsible for appraising performance and recommending any appropriate form of compensation.

(f) Performance Review Boards (PRB) are responsible for:

1. Reviewing performance appraisals and recommending eligibility of senior executives for performance awards (since performance rating levels are linked to performance award ranges, the recommendation of the board on the performance rating level will also normally serve as the recommendation of the board on the performance award); and

2. Reallocating performance award ceilings in the case of the consolidated command PRB to commanders based on an assessment of the relative merits of all the senior executives whose appraisals are reviewed by the board.

(g) Rating officials are responsible for considering the recommendations of supervising officials and PRBs and granting appropriate performance awards consistent with departmental guidance (see app A).
(4) Performance award ranges. Career senior executives who are rated at least fully successful are eligible to receive not more than one lump sum cash performance award (bonus) in each 12-month period. Performance award ranges are indicated below and will be limited to not more than 50 percent of the total number of senior executive positions in the department. Performance award ranges are associated with performance rating levels as follows:

(a) Exceptional--16 to 20 percent of current base pay.

(b) Highly Successful--11 to 15 percent of current base pay.

(c) Fully Successful--0 to 10 percent of current base pay.

The highest percentage in each range is binding and may not be exceeded. Rating officials, however, may grant performance awards which are less than the minimum percentage for the range where, in their judgment, it is in the best interest of the Army. Such decisions will be documented. Absent exigent circumstances, granting performance awards in amounts of less than 5 percent is not encouraged. Rating officials will consider the guidance contained in appendix A in determining the amounts of the performance awards to be paid.

(5) Performance award allocation.

(a) Performance award ceilings. As a mechanism of distributing performance award ceilings, CERB will act for the Secretary of the Army in allocating ceilings to:

1. The Army Secretariat;

2. The Army Staff;

3. The US Army Materiel Development and Readiness Command, the Chief of Engineers, and The Surgeon General; and

4. The consolidated command Performance Review Board. The CERB will allocate ceilings consistent with guidance from the Secretary of the Army or the Secretary’s designee. Organizations allocated performance award ceilings may, at their discretion, suballocate ceilings to subordinate organizations (as an exception to the foregoing, the consolidated command Performance Review Board shall suballocate performance award ceilings to organizations within its area of responsibility). Excess performance award allocations will be reported to the CERB, HQDA(DAPE-CPP), WASH, DC 20310, as soon as it is known that they will not be used so they can be reallocated.

(b) Timing of allocation. Award ceilings will be allocated before the assignment of performance rating levels by rating officials but not earlier than 90 calendar days before the end of the rating period. The CERB will issue procedures necessary to ensure that allocations are made in time to make payment of performance awards not later than 31 October of each year.

c. Executive ranks.

(1) Purpose. The purpose of executive ranks is to recognize career appointees of the SES when the performance of their duties results in accomplishments which may merit the attention of the President of the United States. In addition to the honorary awards outlined in AR 672-20,
executives also may be nominated for the rank of Distinguished or Meritorious Executive.

(2) Nature of award. The award of a rank by the President of the United States carries with it a lump sum payment in the amount of $10,000 for the rank of Meritorious Executive and $20,000 for the rank of Distinguished Executive. The ranks of Meritorious and Distinguished Executive may be granted only to career appointees of the Senior Executive Service.

(3) Criteria.

(a) Distinguished Executive. The Civil Service Reform Act provides that the President may award the rank of Distinguished Executive for sustained extraordinary accomplishment. Within the Department of the Army, nomination for the rank of Distinguished Executive must be based on sustained extraordinary accomplishment by an executive which resulted in significant improvements in efficiency, productivity, and quality of work or service; increased cost efficiency; improvements in timeliness; or other improvements in governmental operations. The nature of the executives' accomplishments must have been of such scope that they affect a broad area of science or technology or a major Army program and the level is such that they are viewed as being among the four or five most significant achievements by Army civilian executives during the period of consideration.

(b) Meritorious Executive. The Civil Service Reform Act provides that the President may award meritorious executives for sustained accomplishment. Within the Department of the Army, nomination for the rank of Meritorious Executive must be based on sustained accomplishment by an executive which resulted in significant improvements in efficiency, productivity, and quality of work or service; increased cost efficiency; improvements in timeliness; or other indications of effectiveness leading to improvement in governmental operations. The nature of accomplishment by these executives must have been at a level which sets them above and apart from their peers and which warrants such recognition over and above that provided by the Secretary of the Army or the Secretary of Defense.

"d. Special achievement awards.

(1) Purpose. Special achievement awards are separate and distinct from those categories of compensation which are part of the SES program. They provide top management with a tool to be used in coordination with the SES compensation system for motivating and rewarding excellence in the performance of senior executives. This award may be granted to recognize both career and noncareer employees. When cash awards are granted for superior accomplishment of assigned duties the award will not exceed 20 percent of base pay in any year and should not be awarded solely due to the inability to grant performance awards to more than 50 percent of the SES."

(2) Applicability. Special Achievement Awards may be paid to all members of the SES regardless of the type of appointment.

(3) Criteria. A Special Achievement Award may be granted to a member of the SES who:

(a) By his/her suggestion, invention, superior accomplishments, or other personal effort contributes to the efficiency, economy, or other improvement of Government operations or achieves a significant reduction in paperwork; or

(b) Performs a special act or service in the public interest in connection with or related
to his/her official employment.

(4) Responsibilities.

(a) The Secretary of the Army or the Secretary's designee is responsible for approving special achievement awards within the Army Secretariat and for reviewing award recommendations in excess of $10,000 prior to submission to the OPM.

(b) The CERB is responsible for reviewing special achievement award recommendations in excess of $10,000 prior to action by the Secretary of the Army.

(c) The Chief of Staff, US Army, or the Chiefs designee is responsible for approving special achievement awards for employees on the Army Staff.

(d) Major commanders and heads of activities reporting directly to HQDA are responsible for reviewing and, if appropriate, approving award recommendations forwarded by subordinate commands/activities. Major commanders/heads of activities reporting directly to HQDA also are responsible for further redelegation of special achievement award approval authority as considered appropriate.

(e) Supervisory officials are responsible for recommending special achievement awards (including specific amounts) whenever the supervisory official identifies an employee considered deserving of such recognition.

(5) Authority to grant awards.

(a) Major commanders and heads of activities reporting directly to HQDA, or other approving officials indicated in (3) above, are authorized to grant special achievement awards up to and including $10,000 (individual or group), inclusive of awards granted by installation commanders for tangible monetary benefits, intangible benefits, or a combination of both. MACOM may delegate to subordinate commands, installations, and activities authority to approve up to $5,000 of this amount. Major commanders may authorize commanders of the above organizations to redelega"
c. A means of determining executive development needs.

5-2. **Applicability.** This subchapter applies to all employees occupying SES positions except that references to SES ranks and performance awards apply only to career employees who are members of the Senior Executive Service.

5-3. **Responsibilities.**

a. The Secretary of the Army or the Secretary’s designee is responsible for:

1. Communicating departmental objectives and priorities through the chain of command;
2. Delegating authority as appropriate to assign performance ratings and approve performance awards to appropriate officials within the Army Secretariat; and
3. Maintaining a current Senior Executive Rating Scheme as described in subchapter 1 for each senior executive in the Army Secretariat.

b. The Chief of Staff, US Army, or the Chiefs designee, is responsible for:

1. Communicating departmental objectives and priorities to subordinate levels of management;
2. Delegating authority to assign performance ratings and approve performance awards to appropriate officials within the Army Staff; and
3. Maintaining a current Senior Executive Rating Scheme as described in subchapter 1 for each senior executive on the Army Staff.

c. Major commanders are authorized to:

1. Develop and communicate to subordinate levels of management organizational objectives and priorities consistent with HQDA objectives and guidance;
2. Delegate authority to assign performance ratings and approve performance awards to appropriate subordinate commanders and heads of activities; and
3. Maintain a current Senior Executive Rating Scheme as described in subchapter 1 for each senior executive on the MACOM staff.

d. Subordinate commanders and heads of activities employing senior executives are responsible for:

1. Developing and communicating to subordinate levels of management organizational objectives and priorities which are consistent with higher echelon objectives and guidance; and
2. Maintaining a current Senior Executive Rating Scheme as described in subchapter 1 for each senior executive in the subordinate command or activity.

e. Supervising officials are responsible for:

1. Consulting with senior executives, identifying major job elements, determining which major job elements are critical, and prescribing written performance requirements for each senior executive;
2. Preparing a periodic appraisal of each executive's performance and at least annually, recommending ratings and, if appropriate, awards; and
3. Revising performance requirements in consultation with senior executives as necessary during
the rating period.

f. Senior executives are responsible for:

(1) Participating in the identification of major and critical elements and performance requirements; and

(2) Advising supervising officials of the need for revision of performance requirements during the rating period.

g. Performance Review Boards (PRBs) are responsible for:

(1) Reviewing initial appraisals of senior executives; and

(2) Recommending rating levels for senior executives (this recommendation will also normally serve as the board's recommendation on performance awards since rating levels are linked to recommended performance award. See subchapter 4.

h. Rating officials are responsible for:

(1) Assigning performance appraisal rating levels after due consideration of recommendations by supervising officials and PRB; and

2) Determining appropriate financial and honorary recognition for superior executive performance (see subchapter 4).

i. Higher executive level officials are responsible for reviewing performance appraisals (if required) and providing the results of this review to the rating official.

5-4. Performance planning. a. Preplanning of performance objectives. Prior to the beginning of the rating period (see app B) each supervising official will, in consultation with the senior executive, identify major job elements and performance requirements for each executive job. Those major elements critical to job success are then identified as such. While senior executives will participate in this process, final determinations will be made by supervising officials who will communicate to senior executives the relative emphasis to be placed on each major job element. The major job elements and performance requirements will be recorded on DA Forms 4816-1-R and 4816-2-R (Senior Executive Service Performance Requirements Worksheet) (See app C), reviewed periodically by the supervising official and the executive and revised as necessary. A completed copy of this form will be given to the executive at the beginning of the rating period and, as updated during the rating period, will serve as the basis for appraisal of performance.

b. Identification of major job elements. Identification of major job elements is accomplished through an analysis of the duties and responsibilities of each senior executive's job. Organizational goals and objectives are first identified. Then, the major duties and responsibilities, including important project assignments of the executive, which contribute to those goals and objectives and for which he or she will be held responsible, are subsequently specified. These are the major job elements. Sources of information which may be helpful in identifying major job elements are job descriptions, mission and function statements, program budget guidance, locally developed organizational objectives, and previously developed performance requirements. As a minimum the official job description will be used. Major job elements may be added, deleted, or changed in consultation with the senior executive during the rating period.

c. Identification of critical elements. From among the major job elements, the critical elements will be identified on the SES Performance Requirements Worksheet.
d. Determination of performance requirements. Once major job elements and those major elements which are critical have been identified, the performance requirements by which achievement in those elements is measured must be determined and recorded on the SES Performance Requirements Worksheet. To facilitate this process, specific tasks or activities important to success in each element will be identified and categorized as either special objectives (generally nonrecurring projects) or continuing responsibilities (inherent, indefinite aspects of the job). Performance requirements for these tasks are then determined. These should be as specific as the nature of the element permits, preferably expressed in quantitative or qualitative terms, and should include the following considerations where appropriate.

1. Organizational as well as individual performance;
2. Improvements in efficiency, productivity, and quality of work or service, including any significant reduction in paper work;
3. Cost efficiency;
4. Timeliness of performance;
5. Performance quality of the employees for whom the senior executive is responsible; and
6. Other indications of effectiveness and productivity. Joint discussion of performance requirements should include the resources and support the senior executive can expect in accomplishing assigned objectives.

e. Equal employment opportunity and affirmative action. Equal employment opportunity and affirmative action will be included as a critical element in senior executive positions. The performance requirements developed will be appropriate to the executive's specific job assignment and will be designed to result in a realistic assessment of his or her contribution and to the accomplishment of goals and objectives set forth in the appropriate affirmative action plan. Performance requirements for equal employment opportunity will be stated in terms of visible, affirmative efforts. Less than fully successful performance in this element will preclude assignment of a fully successful rating overall.

5-5. Performance appraisal. a. In-progress reviews. Supervising officials should periodically evaluate the performance of executives and inform them of their progress toward accomplishing established performance requirements. At least at the midpoint of the rating period, a conference will be held to provide information on the executive's progress and to make changes of performance requirements if necessary. Any necessary changes to performance requirements will be made by the supervising official in consultation with the executive.

b. Initial appraisal of performance. At the end of the rating period, the supervising official will complete the Senior Executive Service Performance Requirements Worksheet DA Forms 4816-1-R and 4816-2-R) and prepare an initial Senior Executive Service Performance Appraisal (DA Form 4816-R) and discuss both with the senior executive. Ratings may only be based on actual performance during the rating period. The initial performance appraisal will contain a recommended performance rating level (see app D). Any recommendation of a performance award, executive rank, or cash award will also be made at the same time. If desired, commanders may require the use of a reviewing official prior to submission of the appraisal to the PRB. In such instances, that official will provide appropriate comments to the appraisal and sign the performance appraisal form. The senior executive will be given the opportunity to include written comments on the initial appraisal. These comments will be considered by the supervising official who will make any changes to the appraisal deemed appropriate and forward the initial appraisal along with the executive's written comments, if any, and the completed SES Performance Requirements Worksheet to the governing PRB.
c. **Review by the Performance Review Board.** The appropriate PRB will review the initial appraisal and the SES Performance Requirements Worksheets including written comments made by the executive to ensure reasonable consistency, objectivity, and equity in the appraisal and performance award process (see app E). Based on its review, the PRB will recommend a rating level to the rating official.

d. **Assignment of the final rating.** The rating official will consider the recommendations of the PRB, the supervising official, and any comments made by the reviewing official and/or the employee and assign a rating level (see app D). A complete copy of the appraisal will then be forwarded to the executive; it will become final within 15 calendar days of its receipt unless the executive submits a written request for review by a higher executive level within that period. The rating official will make incentive determinations (see app A and subchapter 4) when the final rating is assigned.

e. **Review by a higher executive level.** If the senior executive requests a review of the rating by a higher executive level in the agency, such a review must be requested in writing not later than 15 calendar days after receipt of a copy of the rating assigned by the rating official. (An additional 15 calendar days within which to submit documentation may be provided upon request.) The higher executive level (i.e., next higher level of command above the rating official if one exists) is then responsible for appointing a reviewing official who will:

1. Review the written record of the rated executive’s performance;
2. Evaluate the results achieved by the rated executive against the established requirements; and
3. At the discretion of the commander at the higher executive level, either:
   a. Direct a final rating and provide the rating official with reasons in support thereof;
   b. Recommend a final rating to the rating official, providing reasons in support thereof; or
   c. Direct the rating official to reconsider the rating, providing reasons in support thereof.

The senior executive will be provided a copy of the written results of the review.

f. **Time limits.** Performance Review Boards will establish time limits for the processing of performance appraisals of senior executives within their area of responsibility which will allow payment of performance awards not later than 31 October each year. Such time limits will include a reasonable period of time for any possible reviews by higher executive levels.

g. **Grievances and appeals.** Performance appraisals may not be appealed or grieved under the Army grievance system; however, senior executives who feel that personnel practices prohibited under 5 USC 2302 were involved in their performance appraisals may bring such matters to the attention of the Special Counsel of the Merit Systems Protection Board (MSPB). Senior executives who believe their performance appraisals are based on prohibited discrimination may file a complaint of discrimination under the provisions of 29 CFR Part 1613. Additionally, a senior executive whose removal from the Senior Executive Service for less than fully successful executive performance is proposed, is entitled, upon request, to an informal hearing before an official designed by the MSPB (see subchapter 7).

5-6. **Relationship of performance ratings to other personnel decisions. a. General.** Performance appraisal is the keystone of the SES. Performance appraisal results may impact on basic pay rate
adjustments, performance awards (bonuses), executive ranks, special achievement awards, probationary period determinations, various position changes, and adverse actions. For this reason, the relationship of performance appraisal to these other personnel decisions is discussed in the following paragraphs. A graphic representation of some of these relationships is contained in appendix F.

b. Basic pay rate adjustments. The overall level of an executive's performance as recorded in the performance appraisal must be considered in all adjustments of an executive's rate of basic pay. Executives whose performance is rated fully successful or better may be considered for upward adjustments in their rate of basic pay. Conversely, executives whose performance is rated either minimally satisfactory or unsatisfactory should be considered for an appropriate downward adjustment. More detailed information on adjustment of rates of basic pay is found in subchapter 4.

c. Performance award (bonus). A performance rating level of at least fully successful is required before an executive can be considered for a performance award. The performance appraisal not only serves as the basis for the bonus determination but also helps determine the size of the bonus since each rating level (i.e., exceptional, highly successful, and fully successful) is associated with a bonus range. The ranges are: Exceptional 16 to 20 percent of base pay, Highly Successful 11 to 15 percent, and Fully Successful 0 to 10 percent. However, in order to comply with the statutory restriction that bonus payments may not exceed 50 percent of the number of authorized SES positions, the receipt of any one of the three fully successful levels does not automatically entitle an executive to a bonus. The authority to decide which executives will receive bonus payments will remain with rating officials. More detailed information on performance awards is in subchapter 4 and appendix A of this regulation.

d. Executive ranks. Executive ranks are used to recognize career appointees of the Senior Executive Service when the performance of their duties merits the attention of the President of the United States. Ranks are a form of honorary recognition which also results in monetary payments of $10,000 for the rank of Meritorious and $20,000 for the rank of Distinguished Executive. In order to be eligible for consideration for a rank, an executive's most recent performance rating must have been at least fully successful and the executive may not have received the same rank within the four preceding fiscal years. More detailed information on executive ranks may be found in subchapter 4 and appendix A of this regulation.

e. Special achievement awards. Executives may be compensated through the use of cash awards for honorary recognition of an executive in accordance with sections 4503 and 4504 of title 5, United States Code. Special achievement awards may be used to recognize executives for suggestions, inventions, superior accomplishments, special acts or service, or other personal efforts or when the executive performs the duties of the position in a manner exceeding performance expectations. More detailed information on the use of special achievement awards may be found in subchapter 4 and appendix E.

f. Probationary periods. Employees initially appointed to the SES after 13 July 1979 are required to serve and successfully complete a 1 year probationary period before the appointment becomes final. Since the purpose of the probationary period is to determine if the employee should be retained in the Senior Executive Service, a probationary determination is required. This determination may be completed after the fourth month but not later than the end of the tenth month of the probationary period. A probationary determination does not require supervisory officials to use either the same process or forms as the official performance appraisal. However, the determination must be job related, in writing, and a copy must be included in the executive's Official Personnel Folder.

g. Position changes. Performance appraisal is the basis for several position change decisions. An executive's performance can influence management decisions by mandating reassignment in cases where performance is less than fully satisfactory and by prompting management officials to offer increasingly difficult and more responsible positions to highly competent executives whose performance exceeds management expectations. There also may be situations where an executive's performance is such that removal from the
6-1. General provisions.  

a. Purpose. This subchapter establishes requirements for the training and development of SES members and candidates. It establishes guidelines for effective implementation and prescribes requirements for planning, budgeting, and administering the Executive Development Program.

b. Scope. This subchapter applies to all members of the Senior Executive Service and SES candidates (see subchapter 2, Recruitment and Placement).

c. Program objectives. The objective of the Army’s SES Executive Development Program is to assure that senior executives and SES candidates develop and improve their executive capabilities to achieve efficiency, productivity, quality of work or service, and timely, effective performance.

d. Responsibilities.

(1) Headquarters, Department of the Army.

(a) The Assistant Secretary of the Army (Manpower and Reserve Affairs), as Chairman of the Civilian Executive Resources Board, has overall responsibility for assuring that the Army’s SES Executive Development Program is implemented consistent with provisions of this subchapter.

(b) The Army Civilian Executive Resources Board is responsible for:

1. Developing broad policy guidance on executive development for SES members and candidates;

2. Planning actions for the continuing development of SES members and candidates;

3. Assuring that adequate manpower and funding resources are available to carry out the SES Executive Development Program; and

4. Evaluating progress towards meeting Army’s SES Executive Development Program objectives.

(c) The Army Executive and Professional Development Committee, reporting to the chairman, CERB, is responsible for selecting nominations of SES members and candidates for specific executive training and development courses and programs.

(d) The Deputy Chief of Staff for Personnel is responsible for:

1. Developing policy and program requirements for CERB approval and providing support for the administration of the Executive Development Program; and

2. Managing manpower and budget resources to carry out this program.

(2) Commanders of Major commands and heads of activities reporting direct to HQDA will:
(a) Implement provisions of this subchapter including the administration of funds required to carry out the program.

(b) Assure that adequate resources, including manpower support at command and operating levels, are provided for accomplishing executive training and development activities.

(3) Commanders of installations and activities will:

(a) Assure that adequate resources are available to support needed training and development of SES members and candidates;

b) Assure that management officials are fully informed on available training and developmental opportunities to meet individual needs of each executive;

(c) Assure that SES members and candidates accomplish planned training and development as recorded on Individual Development Plans; and

(d) Evaluate results of training and development activities.

4) SES members and candidates are responsible for participating in training and development activities in accordance with approved Individual Development Plans.

(5) Career program functional chiefs are responsible for monitoring training and development accomplishments of SES members and candidates.

(6) SES candidate advisers are responsible for assisting the SES candidate in preparing an IDP, accomplishing planned training, counseling and evaluating results of the training.


(1) The performance appraisal process provides an opportunity for the supervisor to assess training and developmental needs of the executive and to prepare an IDP for the next 2 years jointly with the executive being evaluated. The IDP will focus upon individual needs of each SES member as well as provide for an expansion of executive knowledges, skills, and abilities.

(2) It is essential that all SES members be given an opportunity to continue development of their executive competence through formal training and developmental assignments. During the performance appraisal process, the supervisor and the executive should agree on the specific type of training which will contribute to organizational improvements, enhanced performance, and intellectual growth of the executive. SES members will participate in executive training and development activities as planned.

b. SES candidates.

(1) Procedures for selecting SES candidates are contained in subchapter 2 of this regulation.

(2) Upon selection as candidates for SES, an IDP will be prepared by each candidate with the assistance of the candidate's adviser and the servicing civilian personnel office. The IDP will contain those training and development activities which relate to requirements of the target position with particular emphasis on individual development needs of the candidate. The IDP may cover a period of up to 2 years.
c. Individual Development Plan.

(1) The IDP at appendix C will be used to record training and executive development courses and programs for each SES member and candidate. Developmental activities will vary depending upon the desired results. Training and developmental activities must be relevant and meaningful to the immediate and projected needs of management and the executive. This requires a cooperative effort between the supervisor, the executive, and the servicing civilian personnel office.

(2) SES candidate advisers will

(a) Assist the candidate in preparing an IDP and accomplishing planned training;
(b) Evaluate the results of training accomplished; and
(c) Provide any counseling necessary relative to the accomplishment of the IDP.

(3) The supervisor of each SES member is the approving official for the IDP.

(4) The adviser to an SES candidate is the approving official for the IDP.

6-3. Meeting training and development needs of Senior Executive Service members and candidates.

a. General requirements.

(1) Senior Executive Service members and candidates will be provided training and developmental opportunities consistent with their approved IDP. Each servicing civilian personnel office will assist supervisors and SES candidate advisers in IDP preparation and will monitor the accomplishment of planned training.

(2) Approval of IDP represents a mutual commitment by the supervisor/adviser and executive to accomplish the training during the period covered by the plan.

(3) MACOM will review the completed IDP to assure a budgetary commitment exists to meet established training and development needs of SES members and candidates.

(4) SES members and candidates will be considered for course quotas before other employees eligible for the same training by employing activities and other DA organizations having selection authority for certain courses.

b. Development of SES members.

(1) Training and development activities provided SES members will relate to the requirements of the position occupied and should also prepare the executive to assume greater responsibilities. Executive development can be accomplished through attendance at formal training courses, developmental assignments, details, special work assignments, sabbaticals, participation in professional conferences, and self-development activities.

(2) Formal training, Because of the wide range of individual and organizational training and developmental needs of Army executives, there is no prescribed set of "core" courses or programs required for SES members; however, the list of courses and programs at appendix G provides a range of Government and non-Government sponsored opportunities designed to develop or enhance executive capabilities.
(3) Sabbaticals.

(a) Career appointees to SES positions may be granted a sabbatical by the appointing authority for a period of 11 months or less to engage in study or uncompensated work experience which will contribute to the appointee’s development and effectiveness. A sabbatical will not result in loss or reduction in pay, leave to which the career appointee is otherwise entitled, credit for time or service, or performance rating. Payment of travel and per diem expenses which are essential for the study or experience is authorized in accordance with Joint Travel Regulations, Volume 2. A career appointee must be rated at least fully successful in order to be eligible for a sabbatical.

(b) A sabbatical may not be granted to any career appointee where:

1. The appointee has received a sabbatical during the past 10 year period;

2. The appointee has not completed at least 7 years of service:

   (a) In the SES;

   (b) In other positions in the civil service, the level of duties and responsibilities of which are equivalent to the level of duties and responsibilities of positions in the SES. Any period of assignment of employees to State and local Governments will not be considered a period of service for the purpose of determining eligibility for a sabbatical.

   (c) In any combination of such positions, except that not less than 2 years of the required 7 years of service, must be in the Senior Executive Service; and

3. If the appointee is eligible for voluntary retirement with a right to an immediate annuity.

(c) A career SES appointee may be granted a sabbatical only if the appointee agrees, in writing, to serve in the Federal civil service upon the completion of the sabbatical for a period of two consecutive years. Each agreement required by this subparagraph will provide that in the event the SES career appointee fails to carry out the agreement (except for good and sufficient reason as determined by the head of the activity who granted the sabbatical) the executive will be liable to the United States for payment of all expenses (including salary) of the sabbatical.

(d) The need for a sabbatical should be documented on the IDP during the appraisal process. The format at appendix H will be used to prepare the nominations.

(e) Upon completion of the sabbatical, the supervisor will evaluate the results in terms of stated objectives.

(f) The provisions of Civilian Personnel Regulation (CPR) 410, Training, will be followed in processing a sabbatical.

(4) Developmental assignments. Well-planned developmental assignments will contribute to the development and broadening of managerial skills and knowledge. Those assignments may be
within the Army, DOD components, other Federal agencies, State or local governments, and/or assignments to organizations in the private sector, and will be processed under provisions of the Intergovernmental Personnel Act (IPA) described in CPR 334.

c. Development of SES candidates.

(1) General.

(a) Each participant in an SES candidate development program will have an IDP prepared by the candidate's adviser with the assistance of the servicing civilian personnel office. The IDP will specify a combination of training and developmental activities that relate to the target SES position and to the individual needs of the candidate. The emphasis is on developing or broadening executive capabilities of the individual.

(b) Previous executive training and developmental activities should be documented in item number 1 of the IDP to support the requirement for OPM approval of managerial qualifications.

(c) A senior executive will be designated as an "adviser" to each SES candidate by Assistant Secretaries of the Army, heads of Army Staff agencies, commanders, and as appropriate, upon request by DCSPER. Advisers will assist in preparing the IDP, counsel SES candidates, and monitor progress in accomplishing planned training.

(2) Formal training.

(a) While there are no mandatory DA courses for SES candidates, it is expected that they will attend planned executive level courses during the period covered by the IDP. Additionally, SES candidates will attend an OPM sponsored course focused on Government-wide executive competence unless exempted by OPM. Appendix G contains a list of general management and executive courses and programs that can fulfill many common training needs of SES candidates.

(b) Particular attention should be given to using Government sponsored courses and programs, such as the OPM Federal Executive Institute and the military colleges (i.e., the National War College, Industrial College of the Armed Forces, and the US Army War College).

(3) Developmental assignments.

(a) Many developmental needs can be fulfilled through rotational assignments. Such assignments may be for short-term duration or extend to 1 year. SES candidates should be considered for developmental assignments that will broaden their executive capabilities.

(b) Long-term developmental assignments such as the Federal Executive Development Program (FEDP), DOD Fellows Program, and assignments under provisions of the Intergovernmental Personnel Act (IPA) are designed to provide experience in other organizations. SES candidates who have not had previous assignments in other DOD components or other Federal agencies should be considered for at least one developmental assignment outside Army.

(4) Completion of IDP. Successful completion of all planned training and development activities
on an approved IDP will serve as a basis for certification of managerial qualifications by the appropriate representative of the CERB.

6-4. Evaluation and reports. a. Executive Development Program. The Civilian Executive Resources Board will evaluate the extent to which the program requirements have been implemented and will assess overall results of program activities based on information provided by DCSPER. Particular attention will be given to monitoring manpower and funds provided in support of the program and the extent to which the executive capabilities of Army’s senior executives and SES candidates are being developed. DCSPER will provide the CERB with an annual report on program accomplishments.

b. Evaluation of individual training courses and developmental assignments. Effective evaluation of training and developmental activities is essential to success of the Executive Development Program. Commanders and management officials will evaluate the extent to which IDP have been accomplished and the extent to which planned training has fulfilled individual developmental needs.

c. Reporting requirements. Executive developmental activities will be reported in accordance with instructions issued by HQDA.

Contents

APPENDIX A

DEPARTMENT OF THE ARMY GUIDANCE ON MONETARY AWARDS

A-1. Performance awards. a. Policy. It is the policy of the Department of the Army that officials recommending and deciding Senior Executive Service (SES) performance awards carry out their important responsibilities with a view toward motivating optimum performance by senior executives. Award recommendations and decisions should be equitable and consistent within the context of decentralized management of the performance award program. To this end, officials responsible for several career senior executives may wish to establish procedures for maintaining a reasonable balance between management flexibility, consistency, and equity. Paragraph c below lists some, but not all, of the pertinent factors which may be considered in identifying individuals who should receive performance awards as well as the specific amounts of such awards.

b. Procedures. Supervising officials, at the time of initial appraisal, will recommend their subordinates for performance awards, if appropriate. Initial performance award recommendations will not be specific as to amount and should be made without regard to performance award allocations. Upon receipt of the initial appraisal, Performance Review Boards (PRB) by recommending rating levels also make recommendations on eligibility for performance awards and in the range of amounts to be paid. No further recommendations need be made by Performance Review Boards. However, the PRB may elaborate, if desired (e.g., to recommend use of an incentive award in lieu of a performance award). Upon completion of the PRB review, rating officials make final decisions on performance awards and the specific amounts of such awards. In making those decisions, rating officials will consider:

(1) Recommendations of the supervising official;

(2) Recommendations of the PRB;

(3) General departmental guidance in c below; and

(4) If a higher level review has been requested, rating officials must also consider any recommendations made by the higher executive level.
c. Guidance.

(1) **Performance rating level.** The assignment of performance rating levels will operate automatically to place eligible senior executives into three levels of priority. Ordinarily, within the same organization, senior executives with the highest rating levels should receive first priority for performance awards (i.e., senior executives with exceptional ratings should receive awards before those with highly successful ratings and senior executives with highly successful ratings should receive performance awards before executives with fully successful ratings). It may be necessary, because of the 50 percent limitation on the number of performance awards which may be granted, to award some senior executives and deny others in the same rating level (where this occurs, other means of compensating executives for whom allocations are not available should be explored (see para 4-3d). It may, therefore, be necessary to consider factors other than the performance rating level, such as those set forth in (2) through (4) below.

(2) **Level of achievement.** The level of achievement may vary substantially within each rating level. Executives whose performance has exceeded established performance requirements by a greater margin normally should be preferred over those who have achieved relatively less. Executives whose performance has exceeded requirements by the greater margin should receive consideration for performance awards closer to the maximum payment for the range. In making such assessments, the relative difficulty and complexity of the performance requirements assigned to each executive should be a consideration.

(3) **Previous record.** The executive’s prior record as a member of the SES also may be examined. Executives who have shown substantial improvement over the previous rating period may be considered over those who have not shown such improvement as long as this consideration is not at the expense of executives with consistently high levels of performance. Similarly, this factor may be considered in determining the size of the performance award. Executives who received no performance award in previous rating period(s) may be considered over executives with comparable current records of achievement who did receive performance awards in the previous rating period(s).

(4) **Contribution to the organization.** Among executives with the same performance rating levels, preference for awards and awards closer to the maximum in the prescribed range may be given to those whose contribution the rating official considers most significant. This may be judged in a number of ways including an evaluation of the importance of specific programs or projects successfully carried out. For example, significance may be measured by the scope or degree of impact that the performance has. Impact could be organization, activity, command, department, or Federal-wide.

A-2. Executive ranks. a. **Minimum eligibility requirements.**

(1) In order to receive consideration for an executive rank, the accomplishment(s) leading to the consideration normally should have taken place over a period of 6 months or more.

(2) An executive awarded a rank of Meritorious or Distinguished may not receive that same rank during the following four fiscal years.

(3) Only career appointees are eligible to be considered for ranks.

(4) In any fiscal year, the number of individuals receiving the rank of Meritorious Executive may not exceed five percent of all SES positions within the Department and the number of individuals receiving the rank of Distinguished Executive may not exceed one percent of all SES positions.
b. Administrative procedure. Upon notification by HQDA, activities will submit nominations through command channels. All Executive Rank nominations require the personal signature of the major commander or the head of an activity reporting directly to HQDA. The CERB will review nominations and make recommendations to the Secretary of the Army. Nominations approved by the Secretary of the Army will be forwarded through OSD to OPM for further consideration.

c. Submission format. Nominations will be submitted to HQDA(DAPE-CPL) WASH, DC 20310, in six copies and will include the following:

   (1) Proposed citation--for the signature of the President highlighting the significance of the nominee’s achievements.

   (2) Summary of achievement--stated in specific terms and including date(s) of achievement.

   (3) Additional details--illustrating how the nominee was personally responsible. This should relate the achievements listed above and be specific as to date(s) of accomplishment.

   (4) Benefits--the specific benefits relating to the criteria for the specific award. Describe separately the tangible and intangible benefits.

   (5) Other awards received--a statement describing any other significant awards received by the nominee.

   (6) Published works--a list of published works in science, technology, the humanities, or other field of endeavor.

   (7) Supporting or technical material may also be submitted to supplement the nomination.

A-3. Special Achievement Awards. a. Description. A Special Achievement Award is a monetary award in recognition of:

   (1) A meritorious personal effort, act, service, or scientific achievement performed within or outside the assigned job responsibilities which contributes to the efficiency, economy, or other improvements of government operations or similarly in the public interest and which may or may not involve measurable monetary benefits and may involve one or more employees.

   (2) Individual performance or accomplishment normally for a period of 12 months or more which exceeds performance expectations.

b. Criteria.

   (1) An award granted under the provisions of a(1) above must be related to demonstrable results of the following types.

      (a) Improvements in individual or group productivity;

      (b) Accomplishing group activities which result in exceeding quality control standards;

      (c) Supervisory success in reducing labor costs and/or improving manpower utilization;

      (d) Improvements in Government operations involving significant tangible benefits not covered by the suggestion program.
(e) Developing field projects or programs accepted for MACOM or Army implementation.

(f) Improving service to the public or achieving a significant reduction in paperwork; and

(g) Significant individual or group accomplishments involving safety, health, mission-support activities, or other assigned responsibility.

Additionally, when this award is granted for special achievement in conjunction with job responsibilities, the effort, act, or service must have resulted in performance which exceeds the requirements for a major element of the position.

(2) An award granted under the provisions of a(2) above must clearly document those areas in which performance expectations were exceeded.

(3) The reason(s) for which the award is given must not have served either wholly or in part as the basis for a previous monetary award to the nominee, including a salary adjustment or a performance award.

c. Size of award. The statutory limit on this award is $25,000. Amounts of up to $10,000 may be approved within the Department of the Army. However, in accordance with Office, Secretary of Defense policy, cash awards for superior accomplishment of assigned duties or a special act or service in connection with assigned duties will not exceed 20 percent of base pay in any year. Awards not subject to the 20 percent limitation (i.e., those not involving assigned duties) proposed in excess of $10,000 require the approval of the Office of Personnel Management. Figure A-1 may be used as guidance in determining cash amounts for the Special Achievement Award in instances where tangible savings cannot be calculated directly. Refer to paragraph d below for description of the terms used in figure A-1. Whenever tangible benefits can be established, the cash award should be based on tangible benefits as shown in figure A-2.

d. Special Achievement Awards. Description of terms.

(1) Value of benefit.

(a) Moderate Potential Value--Change or modification of an operating principle or procedure which has moderate value sufficient to meet the minimum standard for a cash award; an improvement of rather limited quality of a product, activity, program, or service to the public.

(b) Substantial Potential Value--Substantial change or modification of an operating principle or procedure; an important improvement to the quality of a project, activity, program, or service to the public.

(c) High Potential Value--Complete revision of a basic principle or procedure; a highly significant improvement to the quality of a product, major activity or program, or service to the public.

(d) Exceptional Potential Value-- Initiation of a new principle or major procedure; a superior improvement to the quality of a critical activity, program, or service to the public.

(2) Extent of application.
(a) Limited--Affects functions, mission, or personnel of one office, facility, installation, or an organizational element of a headquarters; affects a small area of science, technology, or major programs.

(b) Extended--Affects functions, mission, or personnel of several offices, facilities, or installations; affects an important area of science, technology, or major programs.

(c) Broad--Affects functions, mission, or personnel of an entire regional area or command; affects a broad area of science or technology or a major program.

(d) General--Affects functions, mission, or personnel of several regional areas or commands, or an entire department of a large agency, or is in the public interest throughout the nation or beyond.

e. Procedure.

(1) The employee's immediate supervisor or an official having direct knowledge of the act or service is responsible for initiating the nomination of DA Form 1256 (Incentive Award Nomination and Approval). It should be formally concurred in by an operating official in the executive's line of command consistent with local procedures.

(2) Nominations should be submitted within 30 calendar days after completion of the period of service to be recognized. Final action should be taken within 15 days thereafter. The total elapsed time between submission and final action should not exceed 45 calendar days from the date of completion of the period of service to be recognized.

(3) When the recommendation is based on measurable tangible benefits, supporting data will be in sufficient detail to show the value of benefit and the extent of application appropriate for the achievement to be recognized (see para d above).

(4) Documentation for the nomination will be concise and consist of a listing of the major job elements of the employee's position; a factual statement of actual performance or accomplishment which clearly describes the manner in which the employee exceeded supervisory expectations and position requirements; and a statement that performance of all other major job elements has been not less than fully successful.

\begin{figure}[h]
\centering
\begin{tabular}{|l|c|c|c|}
\hline
 & Limited & Extended & Broad & General \\
\hline
Moderate Potential Value & $500 to 1000 & $1000 to 2000 & $2000 to 3000 & $3000 to 4000 \\
\hline
Substantial Potential Value & $1000 to 2000 & $2000 to 3000 & $3000 to 4000 & $4000 to 5000 \\
\hline
High Potential Value & $3000 to 4000 & $4000 to 5000 & $5000 to 6000 & $6000 to 7000 \\
\hline
Exceptional Potential Value & $6000 to 7000 & $7000 to 8000 & $8000 to 9000 & $9000 to 25000 \\
\hline
\end{tabular}
\caption{Tangible savings guide.}
\end{figure}

\begin{figure}[h]
\centering
\begin{tabular}{|l|l|}
\hline
Savings & Award \\
\hline
\end{tabular}
\caption{Intangible benefits guide.}
\end{figure}
$250 | $25
---|---
$251 to $1,000 | $25 for the first $250 in benefits plus $5 for each additional $50 or fraction thereof.
$1,001 to $10,000 | $100 for the first $1,000 in benefits plus $10 for each additional $100 or fraction thereof.
$10,001 to $20,000 | $900 for the first $10,000 in benefits plus $15 for each additional $200 or fraction thereof.
$20,001 to $100,000 | $1,650 for the first $20,000 in benefits plus $20 for each additional $300.
$100,000 or more | $7,000 for the first $100,000 in benefits plus $25 for each $500 or fraction thereof.

**Note.** The maximum award is $25,000.

**Figure A-3. Senior Executive Service Salary and Compensation Eligibility Comparison.**

<table>
<thead>
<tr>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Base Pay</strong></td>
<td><strong>Performance Award (Bonus)</strong></td>
<td><strong>Executive Ranks</strong> [^3]</td>
<td><strong>Incentive Awards</strong> [^4]</td>
</tr>
<tr>
<td>Career Employees [^1]</td>
<td>NTE $52,800 [^2]</td>
<td>NTE 20% ($10,560)</td>
<td>$10,000 or $20,000</td>
</tr>
<tr>
<td>Noncareer Employees</td>
<td>NTE $52,800 [^2]</td>
<td>Not eligible</td>
<td>Not eligible</td>
</tr>
</tbody>
</table>

\[^1\] Sum of A, B, and C cannot exceed $66,000 (level I of executive schedule).

\[^2\] Current salary cap limits To $47,500.

\[^3\] Eligible for each rank only once every 5 years.

\[^4\] OPM approval required for awards from $10,000 to $25,009. Incentive awards (D) are not subject to the $66,000 limitation which apply to other compensation components (A, B, C).

**APPENDIX B**

**APPRAISAL PERIOD AND REQUIREMENTS**

**B-1. Appraisal period.** Within the Department of the Army, the regular rating period for all senior executives will be from 1 July through 30 June of each year and all executives will be rated at least annually.

**B-2. Restriction.** In the case of a career appointee, no appraisal or rating may be given within 120 days after the beginning of a new Presidential Administration.

**B-3. Minimum period of supervision.** \[^a\] As a general rule, a supervisory relationship must exist for a
minimum period of 120 calendar days before a supervisor completes an executive's appraisal.

b. Supervisory officials who have not supervised the executive for 120 calendar days at the end of the rating period may postpone the rating for a sufficient amount of time to provide for completion of the 120 calendar day period.

**B-4. Procedures.** Procedures to be followed when either the rated executive or the supervisor is moved to a different position during the rating period are as follows:

a. Whenever the supervisor or the executive is moved to a different position where the supervisory relationship no longer exists, an interim appraisal will be required if supervision has been exercised for 120 days or more. Completion of the SES Performance Requirements Worksheet will fulfill this requirement. If the executive moves to another position (whether the new position is in the SES or not), the supervisor will complete the SES Performance Requirements Worksheet before the executive departs. The original will then be forwarded to the servicing civilian personnel office at the gaining organization. The CPO will assure that the supervisor at the new organization receives this form as soon as possible after the executive enters on duty. The supervisor at the former organization will assure that the executive is provided a copy of the interim appraisal before the executive departs. The gaining supervisor must consider the contents of the interim appraisal before completing the annual appraisal. The interim appraisal must be attached to the annual appraisal for such consideration as the PRB and rating official deem appropriate.

b. If the supervisor leaves, the original SES Performance Requirements Worksheet will be left with the organization for use by the new supervisor to consider all information on the appraisal before completing the annual performance appraisal as of 30 June. A copy of the interim appraisal will also be given to the executive. The interim appraisal must be attached to the annual appraisal for such consideration as the PRB and the rating official deem appropriate. If a supervisory relationship existed for 120 calendar days or more and the supervisor or the executive moves to another position within 60 days before the end of the rating period, the supervisor will complete the regular annual appraisal and arrange to have it forwarded to the appropriate Performance Review Board at the proper time.

**B-5. Required actions.**

a. Any senior executive receiving a rating of unsatisfactory must be reassigned or transferred within the SES or removed from the SES.

b. Any executive who receives two ratings of unsatisfactory in any period of 5 consecutive years will be removed from the Senior Executive Service.

c. Any senior executive who twice in any period of 3 consecutive years receives less than fully successful ratings (i.e., minimally satisfactory and/or unsatisfactory) shall be removed from the SES. Specific procedures on removal from the SES are in subchapter 7, Employee Relations. Information pertaining to reassignments or transfers within the SES is in subchapter 2, Recruitment and Placement.

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**APPENDIX C**

**SENIOR EXECUTIVE SERVICE PERFORMANCE APPRAISAL**

**FORMS AND INSTRUCTIONS**

**C-1. General.** This appendix contains DA Form 4816-R (Senior Executive Service Performance Appraisal) (Figs. C-1 through C-3) and DA Forms 4816-1-R and 4816-2-R (Senior Executive Performance Requirements Worksheet) (Fig. C-4) for the Senior Executive Service within the Department of the Army. These forms will be reproduced locally on 8- by 10 1/2- inch paper. The Senior Executive Service (SES)
Performance Appraisal is the official record of the executive's accomplishments during the rating period. This appraisal need only be completed at the end of the rating period. The SES Performance Requirements Worksheet is used throughout the rating period and is designed so that pages may be easily added depending upon the number of major and critical elements in the position and the number of performance requirements established in connection with the elements. The completed worksheet may include any number of forms 4816-1-R and 4816-2-R but usually only one copy of the form which contains the explanation of performance requirements changed during the rating period. In those instances in which one copy of that form is insufficient, additional copies may be used. The Senior Executive Service Performance Appraisal has three parts: Part One, Rating and Approval (fig. C-1, Page 1 Page 2); Part Two, Major Element Summary (fig. C-2); and Part Three, Individual Development Plan (fig. C-3). In addition to the appraisal form, a Senior Executive Service Performance Requirements Worksheet (fig. C-4, Page 1 Page 2 Page 3) is included so that the performance requirements developed in consultation with the executive may be recorded and used in the actual rating process. Figure C-5, Page 1 Page 2 Page 3 Page 4 Page 5 Page 6 Page 7 Page 8 is a sample Senior Executive Service Performance Requirements Worksheet containing examples of performance requirements.

C-2. Instructions. a. Figure C-I, SES Performance Appraisal, Part I, Rating and Approval.

   (1) Blocks 1 and 2--Enter executive's name and social security number in appropriate blocks.

   (2) Block 3--Enter the official title recorded on the executive's job description.

   (3) Block 4--Enter the appropriate rating period. The normal rating period is 1 year from 1 July through 30 June inclusive. Shorter periods, but not less than 120 days, may be substituted under certain circumstances (see app. B).

   (4) Block 5--Enter the level of the executive's basic pay rate, i.e., ES-1, ES-2, etc.

   (5) Block 6--Enter the date the executive's current supervisor assumed responsibility for that role.

   (6) Block 7--Enter the name of the command, organization, and installation to which the executive is assigned.

   (7) Block 8--Enter the name and organizational title of the supervisor of the executive.

   (8) Block 9--Enter the name and organizational title of the individual having authority to assign final ratings and approve performance awards (see definition, Subchapter 1).

   (9) Block 10--Check the block which best describes the executive's overall performance. The various rating levels are defined in appendix D. Appropriate comments relative to the executive's performance may be included but are not required.

   (10) Block 11--Check the block which indicates the type of monetary award recommended by the supervisor. If no monetary award is recommended, check "none." If a salary adjustment or performance award is recommended, check the appropriate block but do not indicate the ES level or specific percentage of base pay recommended. Specific guidance on performance awards is in appendix A.

   (11) Block 12--The rated executive may make any appropriate comments relative to the rating and/or award recommended by the supervisor. Continuation sheets may be used if the length of the comments dictate.

   (12) Block 13--same as block 10.
(13) Block 14--This block must be completed by the rating official, identified in block 9. Check the block indicating the rating level approved. Any appropriate comments may be made.

(14) Block 15--This block must also be completed by the rating official. If a performance award is approved, check the appropriate block and indicate the percent of base pay approved. If a salary adjustment to a higher base pay rate is approved, indicate the new rate and check the "approved" block. If a performance award or salary adjustment is disapproved, check the appropriate block. If an award is not applicable, check "Not Applicable." Appropriate comments also may be made.

(15) Blocks 16, 17, 18 and 19--Self explanatory.

(16) Block 20--Completed when a reviewing official is required by the commander (see para 5-5b).

b. Figure C-2, SES Performance Appraisal, Part II, Major Elements Summary. Briefly summarize the major elements identified pursuant to Subchapter 5. Use a check to indicate which of the major elements are critical. Check the appropriate column to indicate whether performance requirements for each major element were met or not met.

c. Figure C-3. SES Performance Appraisal, Part III, Individual Development Plan.

   (1) An Individual Development Plan (IDP) will be updated annually by the supervisor in conjunction with the performance appraisal for each SES member. The plan should include relevant managerial and professional training that can reasonably be accomplished during the next 24 months.

   (2) The servicing CPO is available to provide guidance and assistance on availability of management training courses or programs.

   (3) Item 1--During the performance appraisal discussion, review the extent to which previously planned training was accomplished. If completed, so indicate; if not, explain why not.

   (4) Item 2--Specify training needed (course title if known) to develop/improve managerial competence during the next 12-24 months.

   (5) Item 3--Describe the type of assignment needed to improve competence or to develop specific desired qualifications. This may be accomplished through sabbaticals at colleges or universities, Intergovernmental Personnel Act (IPA) assignments, or short-term details to other positions.

   (6) Items 4-8--Self-explanatory.

d. Figure C-4, SES Performance Requirements Worksheet.

   (1) Items 1 and 2--Self-explanatory.

   (2) Item 3--Enter the executive’s official title as recorded on the job description.

   (3) Item 4--Enter the appropriate rating period. The normal rating period is one year from 1 July through 30 June inclusive. Shorter periods, but not less than 120 days, may be substituted under certain circumstances (see app. B).

   (4) Item 5--Enter the major job element for which performance requirements will be established. Each major element may typically consist of several objectives with related performance
requirements (see fig. C-5, Sample SES Performance Requirements Worksheet). Within the Department of the Army, Equal Employment Opportunity is a critical element common to all SES jobs. A preprinted form showing EEO as a critical element is included as DA Form 4816-2-R for use with the worksheet.

(5) Item 6--Identify critical elements by checking "yes" or "no" in the box titled "critical." The definition of critical elements is found in paragraph 1-3e of this chapter.

(6) Item 7a--Describe the detailed task or activity and place a check in the appropriate box to indicate if a special or continuing objective. Major elements may have both special or continuing objectives or may have only one or the other.

(7) Item 7b--Enter the performance requirements which must be accomplished in order to be fully successful in each task or activity. The performance requirements should be as specific as possible, preferably expressed in qualitative and quantitative terms. Figure C-5 gives several examples of performance requirements.

(8) Item 7e--At the end of the rating period, give a brief description of the results achieved and enter any appropriate remarks that have a bearing on the executive’s performance during the rating period. After comparing the actual results achieved with the performance requirements established at the beginning of the rating period, check the appropriate block to indicate if the requirements were met or not met.

(9) Item 8--At the beginning of the rating period, the supervisor initials the appropriate blocks at the time objectives and performance requirements are established. The date of the initialing reflects the date that the executive became responsible for accomplishment of the performance requirements/objectives.

(10) Item 9--At the end of the rating period, both the executive and the supervisor initial the appropriate blocks when the performance requirements worksheet has been completed. The date should be the date when the worksheet is completed.

(11) Item 10--Identify any performance requirements that have been changed during the rating period and the approximate date on which the change(s) occurred. For ease of reference, also enter the major element to which the change(s) apply. If no changes were made, enter N/A.

(12) Item 11--Enter the rationale in support of any changes made,

(13) Items 12 and 13--Self-explanatory.

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APPENDIX D

PERFORMANCE RATING LEVELS

D-1. General. The Civil Service Reform Act of 1978 requires that each performance appraisal system shall provide for annual summary ratings of performance as follows:

a. One or more fully successful levels;

b. A minimally satisfactory level; and
c. An unsatisfactory level.

Within the Department of the Army, five levels of performance will be used. They are Exceptional, Highly Successful, Fully Successful (the levels of fully successful performance), Minimally Satisfactory, and Unsatisfactory. These rating levels have been designed to recognize substantial differences in the quality of senior executive performance.

D-2. Level descriptions. a. Exceptional. Performance in relation to performance requirements is of such quality that it could only be achieved by the most exceptional executives. At least meets performance requirements for all major job elements. Exceeds requirements for some major elements. The executive deserves special recognition.

b. Highly successful. Performance in relation to performance requirements is of such quality that it could only be achieved by executives who are substantially above average. At least meets performance requirements for all critical elements. Exceeds requirements for some major elements. The executive sets a standard of performance which serves as an example to others.

c. Fully successful. Performance in relation to performance requirements is of such quality that it would be expected only of a proven, competent executive. At least meets requirements for all critical elements.

d. Minimally satisfactory. Performance in relation to performance requirements is less than that expected of a proven, competent executive. Performance indicates a need for improvement in one or more critical elements. The executive must improve to warrant retention.

e. Unsatisfactory. Performance in relation to performance requirements is clearly unacceptable. Fails to meet requirements for one or more critical elements.

D-3. Use of judgment in the rating process. Supervisors, Performance Review Boards, and appointing authorities have substantial discretion in determining which rating levels to recommend or approve. It is recognized that the rating level definitions will not cover every situation in assigning a rating. For that reason, supervisors, PRBs, and appointing authorities will be required to exercise judgment when such circumstances arise.

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APPENDIX E

PERFORMANCE REVIEW BOARDS

E-1. General. The Civil Service Reform Act requires that one or more Performance Review Boards (PRB) be established to make recommendations to the appropriate appointing authority relating to the performance of senior executives in the agency. The law further provides that performance awards paid by an agency will be based on recommendations of a Performance Review Board (PRB).

E-2. Organization. In order to carry out the above responsibilities effectively, Performance Review Boards will be established in the Department of the Army. These boards will make recommendations for the following commands/organizations:

a. An Office, Secretary of the Army PRB will be established to service the Office of the Secretary of the Army, its field operating agencies, and Joint and DOD activities.

b. An HQDA PRB will be established to service the Army Staff and its field operating agencies. This does not include The Surgeon General and Chief of Engineers which will be serviced by their own PRB.
c. An HQ DARCOM PRB will be established to service DARCOM activities.

d. A Chief of Engineers PRB will be established to service COE subordinate activities and field operating agencies.

e. The Surgeon General PRB will be established to service activities in the health care and medical research fields, including Walter Reed Army Institute of Research, Armed Forces Institute of Pathology, the Institute for Infectious Disease, Institute for Surgical Research, and Letterman Army Institute of Research.

f. A consolidated command PRB will be established to service those major commands having relatively few SES positions. The commands covered by this board would be FORSCOM, TRADOC, INSCOM, USACC, MTMC, and USAREUR.

E-3. Membership. The Civil Service Reform Act state that members of Performance Review Boards "shall be appointed in such a manner as to assure consistency, stability, and objectivity in performance appraisal." The Act also requires that notice of the appointment of an individual to serve as a member shall be published in the Federal Register.

a. Length of appointment. Appointments of military and civilian executives to serve on Performance Review Boards should normally be for a minimum of 3 years. Although shorter periods may be acceptable (especially in the case of military members) commands should attempt to appoint those individuals whose assignment in the area can be projected with a reasonable degree of accuracy.

b. Size of performance review board. The commanders of major commands or organizations having Performance Review Boards (2a through e above), convening officials, will appoint a sufficient number of board members (but not less than three) to carry out board functions efficiently and promptly. These officials may up-point a sufficiently large number of individuals to a standing PRB register and make up a specific PRB from this standing register. Members of the consolidated command PRB will be appointed by the Chief of Staff, US Army, or the Chief's designee, based on nominations submitted by the commands serviced. The presiding officer of the consolidated command PRB will be rotated annually among member commands. A standing PRB register similar to that identified above may be used.

c. Restrictions. Convening officials will assure that:

(1) More than one-half of the PRB members are career appointees when the board is reviewing the performance of a career appointee.

(2) The supervisory official who made the initial appraisal of the executive and the rating official responsible for assigning the final rating do not sit as members of the PRB when the PRB is considering the appraisal of that same executive.

(3) Members have current fully successful or better performance ratings under the SES appraisal system or an equivalent rating under another system.

(4) Members possess a thorough knowledge and understanding of Army's SES performance appraisal system.

(5) Members may not be directly subordinate to the executive whose performance is under review.

(6) Military members of PRB must be general officers and civilian members must be paid under the Executive Schedule or be members of the SES or equivalent (i.e., GS-16, 17, or 18).
(7) The official appointed to chair the PRB will be designated in an official appointing order.

(8) Consideration is given to appointing women and minority members to PRB.

d. Federal Register. Convening officials will maintain, review, and update lists of PRB members at least once annually. Upon initial appointment, they will submit lists of those individuals newly appointed to serve on PRB to HQDA(DAPE-CP), WASH DC 20310, for publication in the Federal Register. No person appointed to serve on a PRB may take part in PRB functions until Federal Register publication takes place.

E-4. General procedures. Upon receipt of initial appraisal for supervisory officials, servicing Performance Review Boards will review the initial appraisals of senior executives under their jurisdiction to assure consistency and objectivity in the appraisal and performance award process. The scope of the PRB review may be as broad or as narrow as the convening official determines necessary. Before making any recommendation with respect to the senior executive, the PRB will review any response by the senior executive to the initial appraisal and conduct such further review as the board finds necessary. Major commands/organizations having PRBs will develop the specific procedures governing the functioning of the PRB under their jurisdiction. These operating procedures must be in writing and will deal with such aspects as:

a. When and for how long PRB are convened for the annual review required by statute;

b. Records to be kept for post-audit of PRB deliberations;

c. Provisions for chairmanship of each PRB; and

d. Provisions for necessary administrative support to be provided each PRB.

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APPENDIX G

EXECUTIVE DEVELOPMENT COURSES AND PROGRAMS

References:

a. CPR 410

b. CPR 412

c. DOD Manual 5010.16C

d. HQDA letters--annual

e. Bricker's Director of Activity Program

f. DA Pamphlet 600-10-1

g. CPR 335

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<tr>
<td>1. National War College</td>
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<td>3. US Army War College</td>
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<td>4. Personnel Management for Executives</td>
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<td>5. Information Management for Senior Executives</td>
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<td>14. Executive Roundtable</td>
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<td>15. Advanced Management Course</td>
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**OFFICE OF PERSONNEL MANAGEMENT COURSES**

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<td>2. Seminar for New Managers</td>
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<td>3. Seminar for Advancing Managers</td>
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<td>2. Educational Program for Federal Executives at Mid-Career (Princeton University)</td>
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**SPECIAL DEVELOPMENTAL PROGRAMS**
| 1. Federal Executive Development Program (FEDP) | D  | -  | X |
| 2. President's Executive Interchange          | D  | -  | X |
| 3. IPA Assignments                           | G  | X  | X |
| 4. Intergovernmental Affairs Fellowship (IGAF)| D  | X  | X |
| 5. DOD Fellows Program (to be announced)     | D  | -  | X |
| 7. Sabbatical (academic or work assignment)  | -  | X  | - |

**APPENDIX H**

**NOMINATION FORMAT FOR SENIOR EXECUTIVE SERVICE SABBATICAL**

The following information will be provided for each applicant:

1. Applicant's name:

2. Position title, Series, and Executive Level:

3. Employing organization:

4. Title of career program (if applicable).

5. Total years of Federal service (identify military and civilian separately).

6. Education background (college level) (institution, years of attendance, and major subject degree).

7. Employment history for the last 15 years: Briefly describe the duties and responsibilities of your current position and last two previous positions. For other positions, only provide position title and grade.

8. Assignment in Senior Executive Service (dates and titles).

9. Significant honors and awards (show year in which each was received),

10. Potential: Briefly describe major accomplishments, abilities, and such characteristics as initiative, resourcefulness, etc,

11. Miscellaneous (membership in professional organizations, participation on special boards/committees, etc.)

12. Proposed program of study or work project.
   
   a. Dates.

   b. Location (full address).
c. Describe fully the objectives of proposed sabbatical,

d. Subject matter/courses composing program of study or work project.

e. Benefits accruing to employing organization.

13. A statement that the appointee agrees, as a condition of accepting the sabbatical, to serve in the civil service upon the completion of the sabbatical for a period of 2 consecutive years.

14. A statement that the need for a sabbatical was documented on the IDP during the appraisal process.

Expenses:

a. Salary during sabbatical:

b. Tuition fees (if any):

c. Other related fees:

d. Travel costs:

e. Per diem costs:

f. Other:

Employee's Signature:

Supervisor's Signature:

Contents
C 2, AR 690-900-930

SUBCHAPTER 1. MOTOR VEHICLE OPERATORS

1-5. OPM standards and procedures

On the basis of the complex driving problems unique to the military agencies, OPM has authorized the Department of the Army to measure applicants against the additional standards set forth in AR 600-55.

AR 690-900-930

CIVILIAN AIR TRAFFIC CONTROLLERS

Except as supplemented below, basic Department of the Army civilian air traffic controller policy is the same as provided by DoD Civilian Personnel Manual (CPM), Chapter 930, Civilian Air Traffic Controllers. Paragraph designations correspond to those in CPM chapter 930.

SUBCHAPTER 2. POLICY, COVERAGE, AND PROCEDURES.

2-1. Policy

The Secretary of the Army (SA) administers this policy within the Army.

2-2. Coverage

The SA has delegated the following responsibilities concerning coverage:

(1) Appointing officers will determine if positions are covered. They will attach the following statement to the employee's DA Form 374 (Job Description). The official who assigns the position's duties must approve the statement as part of the job description.

"I certify that this position meets the criteria for coverage as provided under PL 96-347 and Department of Defense Civilian Personnel Manual, chapter 930."

(2) The Chief, US Army Civilian Personnel Center, will make determinations concerning coverage of positions of former Army civilian air traffic controllers and certify qualifying previous service.

2-5. Maximum retention age

b. The servicing Army civilian personnel office will provide the required written notice of this provision to employees.

2-6. Removal determination

a. The appointing authority will make determinations on actions concerning involuntary separation for retirement.

2-7. Review procedures
a. The appointing officer will carry out the notice requirements of 5 USC 3383(a).

b. The MACOM Director of Civilian Personnel will carry out the review procedures of 5 USC 3383(b) and (c).
CHAPTER 971 *

* This chapter does not supplement the FPM

TRAINING, PROMOTION, AND EXECUTIVE DEVELOPMENT AGREEMENTS

Contents

**SUBCHAPTER 1.** DEPARTMENT OF THE ARMY FACILITIES ENGINEER APPRENTICE PROGRAM

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1-2. Facilities Engineer Apprentice Program Appraisal (DA Form 4542-R)

1-3. Sample, Apprentice Program Registration Request

1-4. Sample, Apprentice Program Add-on Request
1-5. Sample, Apprenticeship Agreement
1-6. Sample, Apprentice Registration Request
1-7. Sample, Apprentice Cancellation Request
1-8 Sample, Request For Apprentice Certificate
1-9. Regional Offices--Bureau of Apprenticeship and Training (BAT)
1-10 General Guide to Proficiency Evaluation
1-11 International Correspondence School Related Study Programs

APPENDIXES

A. Schedule of Training - WG-4102-9 Painter (Painter 840.781-010)
B. Schedule of Training - WG-4749-8 Maintenance Mechanic (Maintenance Repairer, Building 899.381 010)
L. Schedule of Training - WG-5309-10 Boiler Plant Equipment Mechanic (Boiler House Mechanic 805.361.010)
M. Schedule of Training - WG-5309-8 Heating Equipment Mechanic (Heating Equipment Mechanic 637.381.018)
N. Schedule of Training - WG-5803-10 Heavy Mobile Equipment Mechanic (Diesel Mechanic 625.281.010)
O. Schedule of Training - WG-3806-10 Sheet Metal Mechanic (Sheet Metal Mechanic 804.281.010)
P. Schedule of Training - WG-2810-10 Electrician, High Voltage (Electrician (Line Erector) 821.361.018)
Q. Schedule of Training - WG-5311-9 Locksmith (Locksmith 709.281.010)
R. Schedule of Training - WG-5408-7/8 Sewage Disposal Plant Operator (Waste Water Treatment Plant Operator 5.362.010)
S. Schedule of Training - WG-5409-8/9 Water Treatment Plant Operator (Water Treatment Plant Operator (Waterworks) 954.382.014)
T. Schedule of Training - WG-5402-8/9/10 Boiler Plant Operator (Stationary Engineer 950.382.026 (Boiler Operator)
U. Schedule of Training - WG-5406-10 (Utility Systems Operator (Plant Equipment Operator 950.382.010)
V. Schedule of Training - WG-5306-10 Air Conditioning Equipment Mechanic (Environmental Control System Installer-Servicer 637.261.014)
W. Schedule of Training - WG-2805-10 Electrician (Electrician 824.261.010)
X. Schedule of Training - WG-4204-10 Pipefitter (Pipefitter (Const) 862.381.018)
Y. Schedule of Training - WG-4706-9 Plumber (Plumber (Const) 862.381.030)
1-1. PURPOSE

The Department of the Army Facilities Engineer Apprentice Program is intended to assure the use of up-to-date training concepts and the establishment of high standards of selection and performance for employees entering skilled blue collar trades in Facilities Engineer organizations. It is a part of an overall Army effort to improve technical skills and to encourage pertinent training for all levels of trades personnel. The overall objective is to improve performance and thus support effective maintenance of Government real property. The apprentice program will-

a. Establish apprenticeship as one means of maintaining the Facilities Engineer trade skill base.

b. Support the overall technical training effort to upgrade existing skills.

c. Provide a basis for upward mobility in blue collar trade fields.

d. Support personnel and recruitment planning for effective replacement of losses in the skilled workforce.

1-2. SCOPE

a. The program applies to Army installations designated to participate in the apprentice training program. Designation is by the sponsoring agency, the Office of the Chief of Engineers (OCE), HQDA, in cooperation with major commands.

b. Funds for program operation are budgeted by OCE. Staffing is established on a separate OCE Table of Distribution and Allowances (TDA). Use of centralized funds and spaces for operation of activity programs is authorized by separate OCE directive establishing an intercommand allocation system based on command requirements.

c. The initial selection of trades to be apprenticed will be expanded in future years, in accordance with need and availability of resources.

> d. This plan may be used by installations to expand installation apprentice programs beyond the scope of program resources allocated by the program sponsor, in the following ways:

(1) To increase the number of apprentices in covered trades. Such increases, will however, utilize local manpower and fund resources. (See also paragraph 1-11, Program Registration.)

(2) To place under apprenticeship Facilities Engineer trades not covered herein, by means of trades training schedules in the format of existing schedules. These, of course, must first be approved through channels. (See also Paragraph 1-11, Program Registration.)<

1-3. GENERAL

a. The DA Facilities Engineer Apprentice Program is established to obtain the general benefits accruing to the employee, community, and agency from the use of apprenticeship to build trade competence. The program is based on varying local labor requirements and provides for command participation in the designation of training sites and the selection of trades.

b. Responsibility for program operation is assigned to installation commanders to ensure responsiveness to local needs and assure individual attention to apprentices. Reasonable flexibility in scheduling and conducting training is provided to adjust to installation workloads and afford sufficient attention to the
development of apprentices.

Individuals assigned authority to operate the program will be carefully selected. Apprentices will be instructed by persons who are familiar with pertinent training techniques and are thoroughly competent in the theory, practices, and skills of their respective trades.

d. Outlines of related instruction will be adapted to the needs of individual apprentices within guidelines for specific trades. When supplemental training is considered necessary, the Installation Joint Apprentice Committee should consult cooperating educational institutions for assistance in locating additional text materials and teaching aids to fit particular training needs. Work experience will be scheduled to provide sufficient exposure to trade requirements and techniques.

e. At the same time, the urgent needs of Facilities Engineer organizations for competent trade workers precludes unnecessary or marginal training. Time will not be spent providing training in skills already possessed by an apprentice. In this regard, approved procedures permit shortening of the apprenticeship period and modification of training plans when related trades experience is already possessed by candidates. Thus, Installation Joint Apprentice Committees are expected to omit training phases not actually needed for development of individuals to journeyman capability. Trades helpers, vocational school graduates, and other partially qualified personnel should be utilized to replenish needed Facilities Engineer trade skills. (Advanced placement is discussed in para 1-7g.)

f. Modifications of standards.

   (1) Proposals for modification of this plan or any of its appended training standards will be forwarded through channels to the staff proponent. Changes having general applicability will be accomplished by change to this regulation. Requests for change which merit consideration only for local application will be treated as individual requests for waiver of a provision of the overall plan.

   (2) All changes or waivers will be accomplished by the staff proponent subject to approval of the registration agency.

   (3) All parties concerned, including affected apprentices, will be promptly notified of approved changes to the plan.

g. This plan is a guideline and reference which may be used by installations in the development of additional apprentice programs under provisions of CPR 410.C. Such programs will be identified under the name of the installation and may incorporate modifications subject to approval under provisions of CPR410.

1-4. DEFINITIONS

a. Employer. The Department of the Army (DA): Specifically, > the Facilities Engineer organization at < Army installations or activities which employ and enter into agreement with apprentices.

b. Sponsoring agency. The Office of the Chief of Engineers (OCE), Facilities Engineer Directorate, Headquarters Department of the Army, which funds and monitors the program.

c. Staff proponent. The Office of the Deputy Chief of Staff for Personnel (DCSPER), Directorate of Civilian Personnel, Headquarters Department of the Army, which authorizes apprentice training plans and agreements, subject to the final approval of the registration agency.

d. Major command. Organizations within the "agency" whose commanders exercise command supervision
over installations and activities, either directly or through intervening command levels.

e. **Registration agency.** The Bureau of Apprenticeship and Training, US Department of Labor, (USDL), which provides national registration of apprentices and guidance and consulting service at both the national and local levels.

f. **Apprentice.** An individual who enters employment in a training status under an approved written agreement to learn a skilled trade and who is registered with the registration agency.

g. **Apprenticeship agreement.** A written agreement between the employer and the apprentice and, if the apprentice is a minor, the parent or guardian of the apprentice. The agreement will be approved by the staff proponent and the registration agency.

h. **Minor.** A person who has not attained the legal age and status of majority as defined by the laws of the State in which employed.

i. **Journeyman.** A craft or trade worker working in a full performance position of a trade in the highest appropriate nonsupervisory grade or pay category.

j. **Apprentice committee.** A committee appointed by the employer to advise and provide staff supervision over the installation apprenticeship program.

k. **Apprentice supervisor.** An individual designated by the employer to supervise the training and development of apprentices.

l. **Apprentice instructors.** Individuals responsible within their work area for overseeing on the job instruction of apprentices.

m. **Standards.** Guidelines against which program operation is measured. This term is used herein to refer to:

   (1) Administrative standards. Rules for general operation of the program.

   (2) Training standards. Outline of the content and structure of apprentice training and supervised job experience.

1-5. **ORGANIZATION AND RESPONSIBILITIES**

a. **Installation commanders.** Commanders of apprentice training sites are responsible for the operation of apprentice programs in accordance with CPR 410.C and this regulation through installation Facilities Engineer organization.

b. **Civilian personnel officers.** Civilian personnel officers are responsible for civilian personnel aspects of the program.

c. **Installation Apprentice Joint Committee.** An Installation Apprentice Joint Committee will be appointed at each apprentice training activity to provide technical staff supervision and advice on apprentice training. The committee will comprise three journeyman workers and three management representatives, plus an apprentice supervisor who will serve as adviser and recorder. The journeymen will be employed in or possess a substantial working knowledge of the apprenticed trades the management representatives will possess a practical knowledge of the trade duties. The committee will serve as liaison between the commander and the shops and will be generally responsible for the successful operation of the program according to these standards. The committee will-
(1) Recommend the trades and the numbers of apprentices to be trained.

(2) Recommend criteria for and approve the selection and placement of apprentices, to include determination of advanced standing.

(3) Assure the registration and certification of apprentices and the apprentice program.

(4) Interpret the provisions of the apprentice program to shop personnel and promote an appropriate training environment, to include the assurance of efficient work processing, adequacy of tools used in training, and effective coordination of apprentice assignments.

(5) Assure the quality and applicability of on the job instruction and associated formal education.

(6) Evaluate the progress of apprentices and recommend their advancement, retention, or removal.

(7) Designate supervisory member who will act for the committee as reviewing official of the DA Form 1052, Employee Performance Rating. (For outstanding ratings, the reviewer will serve also as the approving official.)

(8) Motivate, counsel, and resolve informal complaints or allegations of poor performance or violation of the apprenticeship agreement and promote the general welfare and training opportunities of apprentices.

d. **Apprentice supervisor.** An apprentice supervisor will be designated at each training site. The apprentice supervisor will have direct responsibility for the coordination of apprentice training activities on the job and in the classroom and will serve as adviser, recorder, and executive agent of the Apprentice Committee. The apprentice supervisor will-

(1) Advise apprentices on performance rating procedures and other terms of their apprenticeship and promote their successful adaptation to the job.

(2) Prepare apprentice training schedules and coordinate them among the shops and apprentice instructors.

(3) Provide assistance and technical guidance to apprentice instructors and arrange for required instructor training with civilian personnel office assistance.

(4) Arrange for technical classroom instruction and directly supervise apprentices in classroom instruction phases.

(5) Maintain apprentice progress records, evaluate training progress, and make recommendations for improvement.

(6) Prepare official performance ratings after consultation with concerned shop supervisors.

(7) Obtain apprentice agreements, register apprentices and programs, and provide for issuance of completion certificates.

e. **Shop supervisor.** The appointed supervisor of the shop or work area where an apprentice is assigned for on the job training will be responsible for the quality and applicability of the apprentice’s assigned work experience. The supervisor will monitor the apprentice’s work and will evaluate performance and progress on a continuing basis.
f. **Apprentice instructor.** Apprentice instructors, formally assigned in each trade or work area, will conduct on the job instruction of apprentices. Instructors will be journeymen (preferable graduate apprentices), working leaders, or work supervisors in each trade, shop, or organizational entity where apprentices are employed. Instructors are responsible within their work area for instruction on current work practices and work habits and attitudes and for jointly evaluating progress with the apprentice supervisor.

g. **Apprentices.** Apprentices are responsible for meeting standards of Federal employment in their work performance, personal work conduct, and cooperation, reliability, and initiative on the job. Each apprentice agrees by signing the apprentice agreement to serve the time and perform the on the job training and classroom job related instruction the Apprentice Committee considers necessary to satisfy the requirements of full performance in the apprenticed trade.

### 1-6. PROVISIONS OF APPRENTICESHIP

a. **Qualifications.**

> (1) Applicants must be at least 18 years of age. No maximum age may be prescribed; however, participation in an apprentice program is more appropriate for persons who expect to continue Federal service for a reasonable period and whose service expectancy promises a satisfactory return on training investment.

> (2) Qualifications rating of in service applicants and outside applicants hired under excepted appointment authorities will be in accordance with US Civil Service Commission Handbook X118C, Job Qualification System for Trades and Labor Occupations.

> (3) Selection of employees who already possess substantial qualifications in a trades or craft occupation or in other skilled, technical, or specialized fields is not appropriate.

b. **Apprentice ratio.** Each employer, as a minimum, may employ one apprentice per trade if there is assurance of adequate capability for supervision and instruction of the apprentice. Additional apprentices may be employed in ratio of one apprentice for every three journeymen working in the trade.

c. **Term of apprenticeship.** The term of apprenticeship is related to the trade as set forth in respective training standards. The total term will be divided into progress periods of 6 months (approximately 1,040 hours) each of on the job and related instruction.

d. **Apprentice agreement.** Apprentices and if a minor their parent or guardian will sign a written agreement indicating terms and conditions of employment and training. The agreement will be signed and countersigned by the employer.

e. **Pay of apprentices.**

> (1) A progressive rate of pay will be established for each 6month increment of apprenticeship. Beginning and successive pay levels will be set in accordance with FPM Supplement 5321, S 114, Federal Wage System, Special Pay Plan for Apprentices and Shop Trainees.

> (2) Program funding does not provide for overtime. Employers will not obligate central fund authorizations for overtime payment without prior approval of the program sponsor. Utilization of apprentices in a manner to require such payment is normally inappropriate, particularly in the first half of the term of apprenticeship.

> (3) Funds for hazard pay of apprentices are not provided from the central fund. Assignment of apprentices in hazardous work situations will be avoided whenever practicable.
1-7. EMPLOYMENT AND TENURE

a. Employment. Apprentices will be locally employed in spaces provided from the sponsor’s TDA. Spaces are not subject to reduction or reassignment by the employers.

b. Appointment status. Appointment status for apprentices depends upon the appointment authority under which they enter the program. Appointment categories for apprentices are the same as for the other Federal employees. Current employees reassigned to apprentice positions retain the appointment status they bring to the program.

c. Competitive standing. In accordance with US Civil Service Commission and Civilian Personnel Regulations for establishment of competitive areas, apprentices will be placed in a common competitive area with other employees of the command; however, they will be placed in a separate competitive level established for employment of trainees under formal training agreements.

d. Recruitment. Apprentices may be competitively assigned from other positions within the workforce or newly recruited through any of the employer’s established employment programs.

e. Selection and placement.

(1) Qualification standards for selection and placement will apply equally to candidates from all sources. Final selection of apprentices will be as recommended by the Apprentice Committee in consultation with supervisors in the apprenticed trades.

> (2) Apprenticeship Committees are expected to assess candidate potential in terms of anticipated return on training investment commensurate with the substantial length of training time in an apprentice program. A potential for continued service after graduation that is at least three times the length of the training period is a reasonable expectation. <

> (3)< Candidates will be referred for Committee selection by the employer’s Civilian Personnel Office.

> (4) < Current employees whose placement in the program would otherwise result in a salary or pay reduction are entitled to 2-year salary or pay retention provided they meet the criteria of 5 USC 5345 (see Federal Personnel Manual Supplement 9002, Book 531, S54).

f. Probationary period. The official probationary period for apprentices is one year, as for other employees. Apprentices in the probationary period of their appointment may be separated without undue formality in accordance with FPM 315. Employees with competitive status assigned to the apprentice program do not revert to a probationary appointment status.

g. Advanced placement.

> (1) All apprentices will be initially placed at the beginning level of apprenticeship. Apprentices who possess pertinent experience or training may be advanced to a higher level upon demonstration of ability to apply claimed experience and training to job performance. The apprentice committee will evaluate performance in the trade against the specifications of the training plan and, when indicated, will credit personal job qualifications toward advanced placement in accordance with instructions at Figure 1-1.

(2) Credit toward advanced status will be extended in phases of six months each.
(3) Credit toward advanced status will be applied at completion of the initial six month phase of apprenticeship. The number to be credited will be added to the phase just completed in determining the new level of apprenticeship to be assigned.

(4) Advanced status may not exceed one half the term of apprenticeship. <

h. Journeyman status. Individuals successfully completing apprenticeship will be placed in full performance positions at Step 2 of the established journeyman grade, within the employer's own established position structure. The apprentice space thus released may revert to the central OCE pool of spaces.

i. Reduction in force.

   (1) Reduction in the apprentice force may occur if the sponsoring agency should withdraw staffing authorizations according to its determination of system wide skill needs within the respective trade disciplines. The reductions will be distributed by trade among the major commands which will then withdraw manpower spaces from subordinate training sites.

   (2) Apprentices will compete for retention within their competitive level in accordance with the employer's established reduction in force procedures. Apprentices will not be reassigned for RIF protection purposes to apprentice positions in another trade. Journeyman employees of the employer's regular workforce may not be extended retreat rights to apprentice positions when reductions in the regular workforce occur.

j. Reemployment. Reemployment will be offered to laid-off apprentices before new apprentices are employed in the same trade.

k. Reassignment between trades. When deemed appropriate by management, apprentices may be reassigned from one Facilities Engineer trade to another. Credit may be granted by the Apprentice Committee for pertinent classroom work and on the job training received in the initial apprentice assignment. Reassignment is authorized when all the following conditions are met:

   (1) The apprentice has served at least a 90 day trial period in the initial assignment.

   (2) The action is determined by concerned shop supervisors and program administrators to be in the best interests of the service and the apprentice agrees in writing to the reassignment. (If the apprentice is a minor, written consent of a parent or guardian is required.)

   (3) An unutilized apprentice position exists in the new trade and prescribed ratio of apprentices to journeymen are not exceeded.

   (4) No more than 6 months (> 1,040 < hours) of training time will be lost.

l. Reassignment between installations. Apprentices may be reassigned to a new installation (employer) when the new employer has an ongoing apprentice training capability and when conditions set forth above for reassignment are met. The apprentice will complete unfinished phases of classroom work or training upon transfer.

m. Progression. Advancement will occur at the successful completion of each > 1,040 < hour training period, when the apprentice has mastered work processes and knowledge requirements outlined for the period and the Joint Apprentice Committee has recommended advancement.

n. Temporary retention or removal.
(1) The Joint Apprentice Committee may authorize retention in standing for up to 90 days for purposes of further training in a given phase. In extenuating circumstances, after thorough evaluation of progress and counseling of an apprentice, an additional 90 day extension may be given. In turn, the total term of apprenticeship may be extended, consistent with overall performance record, to facilitate attainment of full journeyman trade capability. Retention in standing or extension of the term of an apprenticeship will be limited to a total of not more than 6 months.

(2) Apprentices whose progress falls seriously behind established requirements may be terminated at their own request or upon recommendation of the Apprentice Committee. If this failure to meet requirement occurs within the established probationary period, dismissal from employment should result unless the apprentice holds other rights from continuous Federal employment preceding his/her apprentice assignment. Apprentices to be terminated from the program after completion of a probationary period will be reassigned, reduced in grade or pay, or removed, in accordance with established adverse action procedures (CPR 752). Notices of decision on proposed adverse actions will be signed by the commander of the employing installation. The employer will notify the Army staff proponent, HQDA(PECMD), Wash. DC 20314, through prescribed channels of apprentice removals or withdrawals from the program.

1-8. EQUAL EMPLOYMENT OPPORTUNITY

a. Recruitment, placement, assignment, and development of apprentices and final utilization in journeyman capacity will be provided entirely on the basis of individual fitness and merit, without regard to race, color, sex, religion, age, national origin, or other factors which of themselves have no bearing on job performance.

b. In accordance with Department of Army EEO policy, consideration of recruitment sources will take into account the need for full representation of minorities and women among applicants, especially where their representation in a trade is substantially lower than their availability in the workforce and/or the recruiting area.

1-9. OCCUPATIONAL SAFETY

The employer will instruct apprentices in safe and healthful work practices and will ensure that apprentices are trained in facilities and environments which are in compliance with either the Occupational Safety and Health Standards promulgated by Secretary of Labor under Public Law 91-596, December 29, 1970, or State or agency standards which have been found to be at least as effective as the Federal standards.

1-10. PERFORMANCE EVALUATION

a. Official performance rating. DA Form 1052, Employee Performance Rating, will be made consistent with other Wage Grade employees. Ratings will be assigned by the apprentice supervisor using feeder data described below.

b. Performance appraisal and evaluation.

(1) Performance appraisal and evaluation of apprentice progress will be performed by the responsible shop supervisor on a continuous basis. Evaluation will be the basis for further job assignment and instruction to assure balanced exposure to aspects of the trade most needed for the apprentice’s current development. Procedures considered necessary for work scheduling and assignment may be locally established.

(2) Each apprentice’s progress will be formally evaluated quarterly. The evaluation will be recorded on DA Form 4542-R, Facilities Engineer Apprentice Program Appraisal, (fig. 12) which
will be initiated by the apprentice supervisor. This form will be reviewed by the Apprentice Committee which will recommend advancement (or other appropriate action).

(3) Local reproduction of DA Form 4542-R on 8” x 10 1/2” (head to foot) paper is authorized.

(4) DA Form 1052, employee annual performance ratings, will be consistent with the evaluations recorded on DA Form 4542-R.

1-11. PROGRAM REGISTRATION

a. Approval of local program. Each installation participating in the program will secure program registration from the Registration Agency by submission of a letter to HQDA (PECMD) in the format shown at figure 1-3. Expansion of programs at a later date to include additional apprenticed trades will be registered by submission of a letter in the format at figure 1-4. > Locally developed schedules (i.e., trades not published herein) require the following addition to the statement in figure 1-4. "This is (these are) a locally apprenticed trade(s) not currently published in DA CPR 971.1." <

b. Registration of apprentices. Signed individual apprentice agreements will be forwarded to HQDA (PECMD), which will obtain national registration from the registration agency. Apprentice agreements will be executed in the format at figure 1-5 and forwarded under cover letter in the format at figure 1-6. > Apprentices employed in the employer's own spaces (i.e., spaces not provided by the sponsor) require the following addition to the statements in figure 1-6. "This (these) apprentice(s) is (are) not covered by central program resources but is (are) employed in the employer's own manpower space(s). <

c. Withdrawal of apprentice registration. When an apprentice resigns or is removed from the program, the employing installation will request cancellation of the apprentice's registration by letter in the format at figure 1-7.

d. Request for certification. When an apprentice satisfactorily completes a program, the employing installation will forward a letter in the format at figure 1-8, announcing completion and requesting issuance from the registration agency of a formal Certificate for Completion of Apprenticeship. When received, the certificate will be countersigned by the commander (or representative) and designated program officials and presented to the graduate apprentice on an appropriate occasion.

e. Program records. Individual record files will be maintained on apprentices for a period of 5 years beyond the completion or termination of apprenticeship. This material must be protected in the same manner as material in an official personnel file. In addition, placement records pertaining to rating processes and selection or non-selection will be retained for a 5-year period. Individual record files will include, but not be limited to-

(1) Apprentice agreement.

(2) Journeyman job description of the apprenticed trade (target job description).

(3) DA Form 1052.

(4) DA Form 4542-R.

(5) Placement record, including basis for any advanced standing granted.

(6) Copies of official correspondence relating to the apprentice (e.g., letter of registration).

1-12. ADVISORY SERVICES
a. Contacts with the National Bureau of Apprenticeship and Training (BAT), Employment and Training Administration, US Department of Labor, will be made through DA channels. Commands are authorized direct contact with State and regional officials of the BAT for program advice and assistance. A list of regional BAT offices is at figure 1-9.

b. Institutions providing related formal instruction are resources of information to both apprentices and program administrators on matters pertaining to apprentice training and education.

1-13. SCHEDULES OF TRAINING

a. Training standards for the several Facilities Engineer trades are set forth as individual schedules in appendixes. These are separately numbered to facilitate the future addition of other trade schedules.

b. Schedules are divided into general skill elements for which standard, maximum, and minimum training periods are shown. These categories are further divided by work tasks which are representative of those typically encountered in a trade. Examples:

A. GENERAL TRADE ORIENTATION: (Skill element).

1. Care and Use of Tools (Task).
2. File, set, and gum saws (Task).
3. Sharpen chisels, planes, augers, etc. (Task).

B. SELECT AND GRADE LUMBER, PANELING, ETC: (Skill element).

1. General classification (Task).

c. The sequence of work/training assignments will be locally determined in accordance with the kinds of work available for assignment. Schedules will be planned to introduce processes at the basic level and advance progressively to more complex tasks. Where advanced standing has been credited to an apprentice, the scheduling will omit the tasks and skill levels for which credit is granted.

d. Level of skills possessed by apprentices will be evaluated as an aid to scheduling work training. Complexity of work assignments should be related not only to the tasks required by the training schedule but also to the degree of skill and ability shown by the apprentice. Those work processes and training exposures intended to round out the knowledge and skill expected of an apprentice at periodic progress points will be emphasized. A time-phased guide to general qualifications evaluation is at figure 1-10.

e. Allowances may be made for differences in facilities, equipment, and workload among the several participating installations. Adjustments in training time per skill element, within the maximum and minimum allotments, are authorized. Substitutions of subordinate work tasks are permitted. For example, where specific equipment outlined for repair is lacking, an installation may assign similar work substantially meeting the same skill requirements. Tasks not included in a schedule but recognized as part of a trade may be added.

1-14. RELATED STUDY CURRICULUM

a. The related study outlined for the respective trades provides for flexibility within prescribed subject areas. The program is structured by general categories of subject matter (typical course titles are shown) from which particular studies may be selected to meet the formal training needs of individuals.
b. Commands may provide related formal training by one or a combination of the following:

1. Area colleges and vocational schools
2. Adult Education Departments of community high schools.
3. Command furnished formal classroom training.
4. Commercial correspondence study programs conducted by schools approved by the Department of Labor to support apprentice training programs. (Example provided at figure 1-11.)

> c. Apprentices will be enrolled promptly and the work monitored to ensure that related study keeps pace with developmental work assignments.

d. The 144 hours per year provided in the training schedules for related study are allotted for classroom time in school programs or its equivalent in correspondence programs. Supporting study (homework) is the responsibility of the apprentice. <

> e. Classroom time allowance is designed to yield about 39 semester units of school credit or its equivalent during a 4-year apprenticeship term, based on 45 classroom hours for each three unit course. Schooling not measurable in unit hours will be measured in clock hours or other appropriate basis to fix the number of courses required. The ratio between prescribed classroom hour allotments for the several curriculum categories will be generally preserved, regardless of computation of training time.

> f. It is the employer's responsibility to arrange related study programs so that class time required will in the aggregate reasonably correspond with schedule time. Duty time authorized for schooling will be that required by the particular course schedule in which the apprentice is engaged. Duty time allowances for related study which are not thus supported are not authorized.

g. Apprentices may attend formal training courses in addition to assigned related study programs when attendance is authorized by the Apprentice Committee. However, prior approval will be obtained from the program sponsor for expenditure of central funds in connection with such training. <

> h. Apprentices may request advance credit for previous formal training as well as for related work experience. The Apprentice Committee in consultation with a representative of cooperating school authorities is authorized to grant such formal training credit. In all cases, the credit must be based on demonstrated mastery of the course content.

Contents

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**Figure 1-1**

Evaluation of Qualifications For Advanced Standing

The placement standing of an apprentice will normally be determined approximately 90 days after entry into apprenticeship. This period provides time to observe the aspects of the apprentice's work performance. In cooperation with personnel specialists and trade experts, Installation Joint Apprentice Committees will determine the appropriate phase of apprenticeship into which a candidate for advanced standing will be placed.

A general guide to evaluation of qualifications is set forth below. It uses excerpts from selected apprentice training schedules to illustrate this technique, which is essentially a job element examining process applied to the candidate's trade related background. Examples shown are hypothetical evaluations of candidate
qualifications against selected skill objectives in apprentice training plans.

A. ELEMENT EVALUATION.

1. (a) Example 1 (taken from Appendix Y)

<table>
<thead>
<tr>
<th>Skill Element</th>
<th>Std Hrs</th>
<th>No. of Days</th>
</tr>
</thead>
<tbody>
<tr>
<td>(1) General Trade Orientation</td>
<td>248</td>
<td>31</td>
</tr>
<tr>
<td>(2) General pipefitting practice</td>
<td>1768</td>
<td>221</td>
</tr>
<tr>
<td>(3) Service installation</td>
<td>2176</td>
<td>272</td>
</tr>
<tr>
<td>(4) Fixture installation</td>
<td>1000</td>
<td>125</td>
</tr>
<tr>
<td>(5) Maintenance and repair</td>
<td>1984</td>
<td>248</td>
</tr>
<tr>
<td>(6) Miscellaneous</td>
<td>248</td>
<td>31</td>
</tr>
<tr>
<td>(7) Related Study</td>
<td>576</td>
<td>72</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>8000</strong></td>
<td><strong>1000</strong></td>
</tr>
</tbody>
</table>

(b) Sample Element Evaluation. General Trade Orientation: 248 hours, 31 days: (See (1) above). Subelements include: Care and use of tools, tests and measuring, types and uses of pipes, etc., safety procedures, and equipment repair records.

(1) Care and use of tools. Past trades experience has given broad general familiarity with a variety of hand and power tools and equipment. No past experience, however, with some of the tools used exclusively in the plumbing trade.

(2) Tests and measuring. Substantial general experience in diagnosis of mechanical equipment problems; experience with measures and angles, cutting, and fitting. No background in measuring expandable materials or computing flow volumes.

(3) Types and uses of pipes, etc.

   (a) Substantial experience with steel and copper piping and fittings.

   (b) General experience with home plumbing and demonstrable knowledge of basic principles of plumbing work.

(4) Safety procedures. Safe work practices of record; substantial experience with use of hand and power tools and safety equipment.

(5) Equipment repair records. Familiarity with work assignment sheets, parts lists, etc; is familiar with The Army Maintenance Management System. Lacks knowledge of specific shop procedures.

Training schedule calls for a total of approximately 31 days training in this element. Related experience background of the candidate exceeds the required time. On the other hand, it lacks the specificity required for
performance in the particular trade. In the judgment of the Apprentice Committee, time required to appropriately update and adjust the applicant's experience in this element would be only one fourth of that required for a novice. In such a case, advance credit (three quarters) may be allowed for the apprentice in this specific element.

2. (a) Example 2 (taken from Appendix Y)

Plumber WG-09 Apprenticeship

<table>
<thead>
<tr>
<th>Skill Element</th>
<th>Std Hrs</th>
<th>No. of Days</th>
</tr>
</thead>
<tbody>
<tr>
<td>(1) General Trade Orientation</td>
<td>248</td>
<td>31</td>
</tr>
<tr>
<td>(2) General pipefitting practice</td>
<td>1768</td>
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</tr>
<tr>
<td>(3) Service installation</td>
<td>2176</td>
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</tr>
<tr>
<td>(4) Fixture installation</td>
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<td>1984</td>
<td>248</td>
</tr>
<tr>
<td>(6) Miscellaneous</td>
<td>248</td>
<td>31</td>
</tr>
<tr>
<td>(7) Related Study</td>
<td>576</td>
<td>72</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>8000</strong></td>
<td><strong>1000</strong></td>
</tr>
</tbody>
</table>

(b) Sample Element Evaluation. Maintenance and repair: 1984 hours, 248 days (see (5) above). Subelements include: Remove stoppages; stop leaks; repair/renew valves, faucets, connections, sprinkler heads; repair and reseat fixtures; repair and calibrate mechanical meters.

(1) Remove stoppages. Negligible experience in this element. Exposure limited to minor home plumbing and equipment maintenance.

(2) Stop leaks. Applicant has past equipment repair experience, to include stop work as well as maintenance and repair of farm machinery, implements, and irrigation systems while growing up on a farm. This experience has given a good knowledge of equipment repair problems, including problems of leakage. Applicant is thoroughly familiar with gaskets, seals, and stop leak chemicals, and has had substantial work with pipes and fittings carrying both water and fuels.

(3) Repair/renew valves, faucets, connections, sprinkler heads. This experience element is closely related to (2) above. Applicant has substantial related experience but has not worked with a full range of plumbing components and systems.

(4) Repair, reseat fixtures. Applicant's experience is general and less relevant to this element; substantial training time will be required.

(5) Repair and calibrate mechanical meters. Related experience has provided a general familiarity with element requirements; e.g., getting irrigation flow, repair of fuel pumps and water pumps; familiarity with farm machinery gauges and valves. However, experience is not specific to the trade.
The training schedule for the element requires 248 days (approximately 11 months) of work experience. The committee would translate into a time value the degree to which this requirement is met by comparing both the amount of the apprentice's related experience and the degree of its applicability to each of the tasks of the training schedule element.

3. (a) *Example 3* (taken from Appendix Z)

<table>
<thead>
<tr>
<th>Skill Element</th>
<th>Std Hrs</th>
<th>No. of Days</th>
</tr>
</thead>
<tbody>
<tr>
<td>(1) Maintenance and use of equipment</td>
<td>160</td>
<td>20</td>
</tr>
<tr>
<td>(2) Selection and grading of lumber</td>
<td>400</td>
<td>50</td>
</tr>
<tr>
<td>(3) Construction layout work</td>
<td>288</td>
<td>36</td>
</tr>
<tr>
<td>(4) Build forms and scaffolding</td>
<td>448</td>
<td>56</td>
</tr>
<tr>
<td>(5) Frame buildings</td>
<td>1216</td>
<td>152</td>
</tr>
<tr>
<td>(6) Finish building exteriors</td>
<td>1440</td>
<td>180</td>
</tr>
<tr>
<td>(7) Finish building interiors</td>
<td>1664</td>
<td>208</td>
</tr>
<tr>
<td>(8) Install and repair roofing</td>
<td>288</td>
<td>36</td>
</tr>
<tr>
<td>(9) Install metal frames and fixtures</td>
<td>160</td>
<td>20</td>
</tr>
<tr>
<td>(10) Millwork and cabinet making</td>
<td>720</td>
<td>90</td>
</tr>
<tr>
<td>(11) Finish wood</td>
<td>416</td>
<td>52</td>
</tr>
<tr>
<td>(12) Miscellaneous</td>
<td>224</td>
<td>28</td>
</tr>
<tr>
<td>(13) Related Study</td>
<td>576</td>
<td>72</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>8000</strong></td>
<td><strong>1000</strong></td>
</tr>
</tbody>
</table>

(b) Sample Element Evaluation. Millwork and cabinet making: 720 hours, 90 days (see (10) above).

(1) Work elements include: layout, saw, form, assembly tables, benches, cabinets, wood fixtures using clamps, table saws, jointer, bandsaw, jigsaw, drill press, tenon and mortice machines, planer, router, shaper, lathe, belt and disc sander.

(2) The evaluated individual successfully completed a shop course in high school and woodworking courses in a community college. The individual's hobby is woodworking in a home workshop, making "whatnots" and designing and building model houses. Is accustomed to close work and fine tolerances in shaping, smoothing, and assembling wood. Limitations are: The past range of products fabricated is narrow and most experience was gained with only hand tools and handheld power tools; orientation to machine and bench equipment is limited to formal school courses.
Training schedule calls for approximately 90 days' experience in this element. Individual's overall experience meets the time requirement but its breadth and depth are limited. Substantial training in bench and machine shop practices and shop safety is required. In the judgment of the Apprentice Committee, well over half of the time required to train a novice in this element would be required to round out the individual's experience to a full journeyman capability. In such a case, the Committee may decide to advance only one-fourth credit in the element.

B. DETERMINING OVERALL STANDING OF THE APPRENTICE.

1. Candidate's qualifications will be evaluated against each major skill element of a training schedule. Credit will be specifically advanced or withheld for each element.

2. Computation of credit will be as follows:

   Step 1: Determine the proportion of credit allowable for each element (e.g., one-eighth, one-fourth, one-half).

   Step 2: Multiply the standard hour content of each element by the advanced credit factor (e.g., 720 hours \( \times \frac{1}{4} = 180 \) hours).

   Step 3: Add the results of Step 2 for each element to determine total credit in terms of training hours equivalency.

   Step 4: Divide the sum of hours obtained in Step 3 by 1,040 to obtain the number of apprenticeship phases or increments to be credited. Round quotient to the nearest increment.

---

**Figure 1-3**

Sample, Apprentice Program Registration Request

THRU: (Major subordinate command)

THRU: (Major command)

TO: HQDA (PECMD) Washington, DC 20314

SUBJECT: Request for Registration of Apprentice Program

1. This headquarters has established an apprentice training program under the provisions of the Department of the Army Facilities Engineer Apprenticeship Program in the following trades:

2. Request registration of the program with the Bureau of Apprenticeship and Training, US Department of Labor.

FOR THE COMMANDER:

---

**Figure 1-4**

Sample, Apprentice Program Add-on Request
THRU: (Major subordinate command)

THRU: (Major command) TO: HQDA (PECMD) Washington, DC 20314

SUBJECT: Request for Registration of Additional Apprentice Program

1. Reference the Department of the Army Facilities Engineer Apprenticeship Program and the registration of this activity as a participating training site.

2. This headquarters has expanded its currently registered program to include the following Facilities Engineer trade(s):

3. Request registration of the foregoing trade(s) with the Bureau of Apprenticeship and Training, US Department of Labor.

FOR THE COMMANDER:

Contents

Figure 1-5

Sample, Apprenticeship Agreement

> Privacy Act Statement

Data Required by Privacy Act of 1974:

Authority: 5 USC 4101 through 4118.

Principal Purpose: Provides management and the apprentice with an agreement on terms of employment and training.

Routine Uses: Used by management as a legal basis for apprentice assignment and training. Used by Department of Army and Department of Labor staff agencies to maintain record files and to compile overall statistics used in work force analysis.

Mandatory or Voluntary Disclosure and Effect on Individual Not Providing Information: Disclosure of date of birth and social security number is voluntary to verify legal sufficiency of apprentice’s signature and to provide data for differentiating between individual records in Department of Labor files. Failure to provide requested information may result in failure of applicant to gain consideration for placement as an apprentice.

> This agreement, entered into this _____ day of __________, 19_____, between the Department of the Army, hereinafter referred to as employer, and _____________________, SSN _____________, born _____________________, hereinafter referred to as apprentice and, (if a minor) _____________________, hereinafter referred to as parent (or guardian). <

WITNESSETH, that the EMPLOYER, the APPRENTICE, and his/her PARENT (or GUARDIAN) are desirous of entering into an agreement of apprenticeship in conformity with the standards of the Department of the Army, which standards are hereby made a part of this agreement as if expressly written herein; and therefore, in consideration of the premises and of the mutual covenants herein contained, they do hereby mutually covenant and agree to the following:

That the EMPLOYER agrees to employ the APPRENTICE for the purpose of enabling said APPRENTICE to
learn and acquire the trade or craft of ___________________________ upon the terms and conditions contained in the apprenticeship standards attached to this agreement and made a part thereof. That the APPRENTICE agrees to perform diligently and faithfully the work of said trade or craft during the period of apprenticeship, complying with the training program contained in said standards.

That during the probationary period, which shall consist of one year of employment, this agreement may be terminated at anytime by either party by giving the other due notice in accordance with US Civil Service Commission and Civilian Personnel Regulations.

That the employment, separation, transfer, and/or leave of the apprentice shall be the same as for other employees with like appointment status and tenure and shall be in accordance with applicable Department of the Army Civilian Personnel Regulations.

That the PARENT (or GUARDIAN) covenants with the EMPLOYER that the APPRENTICE shall duly perform all obligations undertaken herein.

That the apprenticeship terms begins on the _____day of ______________19____, and terminates upon the completion of the APPRENTICE of _________ hours of employment in said trade or craft as stipulated in the said standards.

In witness whereof, the parties hereunto affix their signatures.

(Apprentice)

(Parent or Guardian)

(Apprentice Supervisor)

Approved by:

(Commander)

Contents

Figure 1-6

SAMPLE, APPRENTICE REGISTRATION REQUEST

THRU: (Major subordinate command)

THRU: (Major command)

TO: HQDA (PECMD) Washington, DC 20314

SUBJECT: Registration of Apprentice(s)

Apprentice agreement(s) covering apprentice(s) recently employed by this headquarters is (are) enclosed. Request registration of the apprentice(s) with the Bureau of Apprenticeship and Training, US Department of Labor.

FOR THE COMMANDER:

Incl.
Figure 1-7
Sample, Apprentice Cancellation Request

THRU: (Major subordinate command)

THRU: (Major command)

TO: HQDA (PECMD) Washington, DC 20314

SUBJECT: Cancellation of Apprentice Registration

1. The following named individual(s) has/have terminated his/her/their apprenticeship in the trade(s) shown:

   Name

   Apprentice Trade

   Hours Completed

2. The apprenticeship(s) was/were terminated by (resignation, dismissal, RIF, etc.).

3. Request cancellation of his/her/their apprenticeship registration with the Bureau of Apprenticeship and Training, US Department of Labor.

FOR THE COMMANDER:

Figure 1-8
Sample Request For Apprentice Certificate

THRU: (Major subordinate command)

THRU: (Major command)

TO: HQDA (PECMD) Washington, DC 20314

SUBJECT: Apprenticeship Completion Request for Certification

1. The following named employee(s) (has/have) successfully completed apprenticeships (will complete apprenticeships not later than __________ ) in the trade occupation(s) shown:

   Apprentice

   Occupation

2. The above named employee(s) will be placed in the first journeyman position vacancy(ies) available at this headquarters. Request issuance of Department of Labor Apprentice Certificate(s) for presentation to the employee(s).
Figure 1-9
Regional Offices

Bureau of Apprenticeship and Training (BAT)

* Contact Region Office for name/address of State BAT official.

REGION I
John F. Kennedy Federal Building, Rm 1001
Government Center
Boston, MA 02203
Connecticut, New Hampshire, Maine, Rhode Island, Massachusetts, Vermont

REGION II
1515 Broadway, Rm 3731
New York, NY 10036
New Jersey, New York, Puerto Rico, Virgin Islands

REGION III
PO Box 8796
Philadelphia, PA 19101
Delaware, Virginia, Maryland, West Virginia, Pennsylvania

REGION IV
1371 Peachtree Street, N.E. Rm 700
Atlanta, GA 30309
Alabama, Mississippi, Florida, North Carolina, Georgia, South Carolina, Kentucky, Tennessee

REGION V
Federal Bldg Rm 1 Fourth Floor
230 South Dearborn Street
Chicago, IL 60604
Illinois, Minnesota, Indiana, Ohio, Michigan, Wisconsin

**REGION VI**
556 Griffin Square Bldg
Rm 858 Griffin & Young Sts.
Dallas, TX 75202

Arkansas, Oklahoma, Louisiana, Texas, New Mexico

**REGION VII**
Federal Office Bldg, Rm 1100
911 Walnut Street
Kansas City, Mo 64106

Iowa, Missouri, Kansas, Nebraska

**REGION VIII**
Federal Bldg, Rm 16440
1961 Stout Street
Denver, CO 80202

Colorado, South Dakota, Montana, Utah, North Dakota, Wyoming

**REGION IX**
450 Golden Gate Avenue, Rm 9008
PO Box 36017
San Francisco, CA 94102

Arizona, California, Hawaii, Nevada

**REGION X**
8014 Federal Office Bldg
909 First Ave
Seattle, WA 98174

Alaska, Idaho, Oregon, Washington

Contents

*Figure 1-10*
General Guide to Proficiency Evaluation

The performance characteristics set forth below will aid apprentice progress evaluation and, when combined with a specific assessment of planned training assignments, will help determine subsequent experience needed in the various work elements of a training schedule.

1. **Completion of First Year.** Shows familiarity with the tools of the trade and understands their functions. Demonstrates proper care and use of tools. Follows safety procedures. Has mastered the work environment with respect to employment policies and practices, shop organization, and working rules. Understands the work assignment process and is able to keep accurate equipment and repair records and records of job training assignments. Can perform the simpler tests and measurements of a trade and accomplish the more routine work processes without excessive supervision. Can make calculations and layouts under the direct supervision and close guidance of a journeyman.

2. **Completion of Second Year.** Shows familiarity with nomenclatures, uses, capacities, and characteristics of a majority of installation equipment and facilities. Satisfactorily performs all but the more complex work assignments when detailed instruction is given in methods and work requirements desired. Is able to work under the normal supervision of a journeyman with only occasional instruction in the majority of work processes performed.

3. **Completion of Third Year.** Shows complete familiarity with installation equipment, facilities, and work processes. Is able to satisfactorily plan work sequences, select tools and materials, and entry through assignments to completion without instruction from a journeyman, except for unusual and difficult assignments.

4. **Completion of Fourth Year.** Performs full range of tasks associated with the journeyman level in a satisfactory manner with a minimum of supervision. Understands trade theory. Is able to pre-assess the effectiveness of various approaches to work accomplishment and to select appropriate activities and methods. Is capable of instructing other apprentices in all practices of the trade.

Note. Trades supporting a term of apprenticeship longer or shorter than four years may necessitate and adjusted approach to time-phased performance evaluation.

**Contents**

**Figure 1-11**

International Correspondence School Related Study Programs

Due to varying availability of related study opportunities at the training sites, procurement of required related study course materials from officially recognized correspondence schools is authorized as an appropriate option.

The Bureau of Apprenticeship and Training, USDL, recognizes the International Correspondence School (ICS) as a major vendor with an approved correspondence program. The Department of the Army has reviewed the ICS program and found it adequate for the Facilities Engineer Apprentice Program. Accordingly, the ICS has been authorized to prepare curriculum programs ("Orders of Study") for each approved apprentice trade. These Orders of Study are designed with options to accommodate the flexibility of implementation featured in this plan. The Orders of Study will be distributed to apprentice training activities as they are completed.

Commands wishing to investigate this related study option are authorized direct contact with the ICS. Toll
free calls are available during daylight hours, Eastern Time to (Area Code 301) 4341911, or mail may be addressed to:

T. E. Wells  
District Manager, ICS  
P.O. Box 4342  
Takoma Park, MD 20012

Commands exercising the ICS option, or any other option involving a one-time procurement of a total study plan, should negotiate contracts for the educational services within the educational allowance of $300.00 per year/apprentice provided in the program funding document.

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**RELATED STUDY PLAN**

**WG-4102-9 PAINTER**

**APPRENTICE**

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</tr>
<tr>
<td>b. Basic (shop) algebra</td>
<td></td>
<td></td>
</tr>
<tr>
<td>c. Plane geometry</td>
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</tr>
<tr>
<td>d. Trigonometry</td>
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</tr>
<tr>
<td><strong>2. Trade Drawing</strong></td>
<td>1 - 2</td>
<td>45</td>
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<tr>
<td>a. Blueprint Reading</td>
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<td></td>
</tr>
<tr>
<td>b. Elementary Architectural Drawing</td>
<td></td>
<td></td>
</tr>
<tr>
<td>c. Specification Writing</td>
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<td><strong>3. Related Trades Courses:</strong></td>
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<td>a. Painting Tools and Materials</td>
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<tr>
<td>b. Preparation and Application of Exterior Paints</td>
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</tbody>
</table>
### c. Preparation and Application of Interior Paints

### d. Adhesives and Coating

### e. Preparation of Surfaces

### f. Spray Painting

### g. Surfaces Protection of Metals

### h. Floor, Wall, and Ceiling Coverings

### i. Woodworking Tools

### j. Construction Safety

### k. OSHA: Occupational Safety and Health Act

### l. Metric Measurement

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<th>APPENDIX B</th>
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**RELATED STUDY PLAN**

**WG-4749-08 Maintenance Mechanic Apprentice**

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### 1. Mathematics

a. Practical Arithmetic

b. Basic (shop) algebra

c. Plane geometry

d. Trigonometry

### 2. Trade Drawing

a. Blueprint Reading

b. Elementary Architectural Drawing

c. Specification Writing
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<tr>
<td>c. Construction safety</td>
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<tr>
<td>d. Steel square and slide rule</td>
<td></td>
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<tr>
<td>e. Carpentry</td>
<td></td>
<td></td>
</tr>
<tr>
<td>f. Types of pipes and fittings</td>
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<tr>
<td>g. Plumbing and pipefitting tools and practices</td>
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<tr>
<td>h. Sewage systems</td>
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<tr>
<td>i. Welding practices</td>
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<td>j. Basic electricity</td>
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<tr>
<td>k. AC fundamentals</td>
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<tr>
<td>l. DC fundamentals</td>
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<td>m. Electrical code</td>
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<td>n. Principles of heating, ventilating, and air conditioning</td>
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<tr>
<td>o. Refrigerants</td>
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<tr>
<td>p. Energy conservation</td>
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<td>q. Controls for air conditioning</td>
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<td>r. Fractional horsepower motors</td>
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<tr>
<td>s. Equipment troubleshooting</td>
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<td>t. OSHA: Occupational Safety and Health Act</td>
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<td>c. Drawing and sketching</td>
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<td>c. Principles of heating &amp; ventilating</td>
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<td>d. Fractional horsepower motors</td>
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<tr>
<td>e. Principles of combustion and heat convection</td>
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<tr>
<td>f. Heating systems servicing</td>
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<tr>
<td>g. Controls for heating plants</td>
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<tr>
<td>h. Estimating</td>
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<tr>
<td>i. High pressure steam</td>
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<td>j. Natural gas and oil burning equipment</td>
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<td>k. OSHA: Occupational Safety &amp; Health Act</td>
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## RELATED STUDY PLAN

**WG-5309-8 Heating Equipment Mechanic**

### Apprentice

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<td>c. Principles of heating &amp; ventilating</td>
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<td>e. Principles of combustion and heat convection</td>
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<td>f. Heating systems servicing</td>
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<td>g. Controls for heating plants</td>
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<td>h. Estimating</td>
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**RELATED STUDY PLAN**

**WG-5803-10 Heavy Mobile Equipment Mechanic**

**Apprentice**

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<td><strong>3. Related Trades Courses:</strong></td>
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<td>b. Transmissions, final drives, clutches, and power brakes</td>
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<td>e. Fuel injection</td>
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<td>f. Engine overhaul</td>
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## RELATED STUDY PLAN

**WG-3806-10 Sheet Metal Mechanic**

**Apprentice**

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**RELATED STUDY PLAN**

**WG-2810-10 Electrician, High Voltage**

**Apprentice**

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**APPENDIX Q**

**Schedule of Training** Page 1

**RELATED STUDY PLAN**

**WG-5311-09 Locksmith**

**Apprentice**

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### Contents

**APPENDIX R**

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#### RELATED STUDY PLAN

**WG-5408-7/7 Sewage Disposal Plant Operator**

**Apprentice**

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**APPENDIX S**

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**RELATED STUDY PLAN**

WG-5409-8/9 Water Treatment Plant Operator

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**APPENDIX U**

Schedule of Training [Page 1 Page 2]

**RELATED STUDY PLAN**

**WG-5406-10 Utility Systems Operator**

**Apprentice**

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### Contents

**APPENDIX V**

**Schedule of Training** [Page 1 Page 2]

**RELATED STUDY PLAN**

**WG-5306-10 Air Conditioning Equipment Mechanic**

**Apprentice**

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<td>c. Principles of heating, ventilating, and air conditioning</td>
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**APPENDIX W**

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**RELATED STUDY PLAN**

**WG-5306-10 Air Conditioning Equipment Mechanic**

**Apprentice**

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**APPENDIX X**

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**RELATED STUDY PLAN**

WG-4204-10 Pipefitter

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## WG-4706-9 Plumber

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<td>i. Sanitary plumbing fixtures</td>
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# RELATED STUDY PLAN

**WG-4607-9 Carpenter**

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<td></td>
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<td>d. Construction safety</td>
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<td>e. Steel square and slide rule</td>
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<td>f. Carpentry</td>
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<td>g. Millwork</td>
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<td>h. Stair building</td>
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<tr>
<td>i. Roofing</td>
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<td>j. Form building</td>
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Subchapter 1. General

1-1. PURPOSE AND COVERAGE

This chapter provides general information on personnel authorities delegated by the Office of Personnel Management (OPM). The authorities covered here are those listed in FPM Letter 981-1, dated 1 April 1981. Specific guidance on each authority is in other regulations. Appendix A shows these authorities, their approval levels, and the specific regulatory citations.

1-2. DETERMINING APPROVAL LEVELS LISTED IN APPENDIX A

a. Appointing authority means a person authorized to make appointments by delegation through command channels from the Secretary of the Army. At the lowest operating level, this authority is usually exercised by the civilian personnel officer (CPO). The CPO is designated to act for the appointing authority (the activity commander) but is not considered to be the appointing authority. Therefore, level above the appointing authority means the next level of command above activity commanders; i.e., the major subordinate Army command, the major Army command (MACOM), or Headquarters, Department of the Army (HQDA), as appropriate.

b. Except as noted in c below, send requests for approval through command channels to HQDA(PECC-
CSS), ALEX VA 22332-0300, when HQDA is listed as the approving authority in appendix A. HQDA is also the approving authority when -

1. The requesting activity reports directly to HQDA.
2. The requesting activity has no MACOM.
3. The requesting activity is an HQDA staff office or a field operating agency of the Army staff.
4. The request for approval is for a position in a MACOM headquarters.

c. Send requests to appoint a retired member of the Armed Forces to a position in the Senior Executive Service (or equivalent grades) during the 180 days after retirement to HQDA(DAPE-CPS), WASH DC 20310-0300.

1-3. OTHER APPROVALS

The OPM delegates authority to agencies to make or extend some types of appointments not listed in FPM Letter 981-1. The appointing authority approves these personnel actions if approval is not retained by a higher headquarters.

Contents

Subchapter 2. Records and Reports

2-1. RECORDS

Keep the following records for 2 years for each decision made on the use of authorities listed in part I of appendix A.

a. Title of authority.

b. Processing time.

c. Name of person who authorized use of the authority.

d. Date of the decision.

e. A brief statement on the reason for the decision.

2-2. REPORTS (RCS CSGPA-1580)

Report annually through command channels to HQDA(PECC-CSS), ALEX VA 22332-0300, on the authorities below. (MACOMs send consolidated reports.) Reports will cover a calendar year and are due by 15 February for personnel actions completed by 31 December of the preceding year.

a. For term promotions, report-

1. The number of actions taken under the authority.

2. The number of employees returned to their former (or like) positions prior to the originally specified term promotion termination date.

3. Information concerning any benefits derived from use of the authority.
(4) Information concerning any significant problems associated with use of the authority.

b. For advance in-hiring rates based on superior qualifications, report-

(1) The number of actions taken under the authority.

(2) Information concerning any benefits derived from use of the authority.

(3) Information concerning any significant problems associated with use of the authority.