



UNIFORMED SERVICES UNIVERSITY OF THE HEALTH SCIENCES



SEP 13 2008

SUBJECT: The Uniformed Services University of the Health Sciences (USUHS) and the Armed Forces Institute of Radiobiology Research (AFRRI) Upward Mobility Program

Instruction 1413

(CHR)

ABSTRACT

This Instruction implements the Equal Employment Opportunity Commission's requirements for an upward mobility program. Each agency is required to include a provision in its annual Equal Employment Opportunity Plan for the establishment of training and education programs designed to provide maximum opportunity for employees to advance so as to perform at their highest potential. To comply with this requirement, this Instruction sets forth the procedures for administering the upward mobility program, and incorporates the responsibilities of all key components in executing this program.

A. **Reissuance and Purpose.** This reissues USUHS Instruction 1413^a and updates USUHS policy and procedures for the development and implementation of specific career opportunities in the competitive service for employees at or below the GS-9 level or its equivalent.

B. **References.** *See Enclosure 1.*

C. **Applicability.** This Instruction is applicable to General Schedule (GS) and Federal Wage System (WG) civilian positions in the competitive service at USUHS and AFRRI.

D. **Definitions.** *See Enclosure 2.*

E. **Policy.**

1. The USUHS and AFRRI Upward

Mobility Program is designed to provide another avenue of advancement for employees at or below the GS-9 (or equivalent) positions who lack experience. The Program provides experience and/or education for advancement, the opportunity to enter a new career field in a technical, administrative, professional, or craft/trade occupation through on-the-job training, and formal training assignments.

2. Selections will be made on the basis of the employee's perceived potential and without regard to race, color, religion, sex, national origin, disability, political affiliation, marital status, age, or membership in an organization.

F. **Responsibilities.**

1. The Director, Civilian Human Resources Management (CHR) shall:

administer the Upward Mobility Program.

b. Ensure that supervisors and employees are aware of the provisions of this Instruction.

c. Ensure that CHR staff members are knowledgeable of the policies and procedures covered in this Instruction.

d. Ensure that the principles of the Upward Mobility Program are followed.

2. Supervisors shall:

a. Examine positions within their organizations for the purpose of redesigning them to improve career opportunities.

b. Prepare an accurate description of the duties and responsibilities of the position established in the Upward Mobility Program and develop rating and ranking criteria.

c. Develop an Individual Development Plan (IDP) for each assigned participant.

d. Provide written feedback to Program participants regarding their performance at specific times and oral feedback throughout the Program.

3. Trainees shall:

a. Complete developmental assignments under the Upward Mobility Program.

b. Participate fully in all training assignments/classes.

c. Evaluate all training received.

G. Procedures. *See Enclosure 3.*

H. Effective Date. This Instruction is effective immediately.



Charles L. Rice, M.D.
President

Enclosures:

1. References
2. Upward Mobility Program Agreement
3. Sample Training Plan
4. Evaluation Report - Supervisory
5. Evaluation Report - Trainee

REFERENCES

- (a) USUHS Instruction 1413, "Upward Mobility Program," October 19, 1983 (hereby canceled)
- (b) DoD Directive 1440.1, "DoD Civilian Equal Employment Opportunity (EEO) Program," May 21, 1987
- (c) USUHS Instruction 1416, "Merit Promotion and Placement Program," May 5, 1993
- (d) 5 CFR 213, "Excepted Schedules"
- (e) 5 CFR 536, "Grade and Pay Retention"

DEFINITIONS

1. A Trainee Position is a position that will be established at the same grade or the next appropriate lower grade level to the target position. Only one promotion is permitted to reach the target position from the trainee position.
2. The Target Position is the position for which the selectee is being trained. Upon satisfactory completion of all training requirements, the trainee may be reassigned or promoted to the target position. The target position may be at the same grade level as the trainee position or at the next higher grade level in the occupational series for which the selectee is being trained. This does not authorize exception to the time-in-grade restrictions or the qualification standards.
3. A Career Ladder Position is a position that is filled through competitive procedures below the full performance level.
4. KSAs. Knowledge, Skills, and Abilities necessary for a position. Examples of KSAs are the ability to interpret and apply regulations, work with detailed material, communicate in writing, and work as a member of a team.

PROCEDURES

1. Announcement of Opportunities.

a. Each upward mobility position will be advertised through a Job Opportunity Announcement (JOA). Each JOA will include requirements regarding job element criteria, series and grade level of the target position, and any promotion potential beyond the target position.

b. If the upward mobility target position constitutes one of the rungs of a career ladder, the full performance position, along with the positions covering any intervening grades, must also be established and classified before the upward mobility target position can be advertised.

2. Selection of Trainees.

a. Eligibility. Selection for positions under this program will be made from among the following:

(1) USUHS employees who are currently serving in grades GS-9 or equivalent or below, and who are serving under career or career-conditional appointments in the competitive service.

(2) Veterans Readjustment Appointment (VRA) appointees of USUHS who have completed at least one year of training under their VRA appointments.

(3) USUHS employees who are currently serving in Schedule A excepted positions under 5 CFR 213.3102(u) (Appointment of Severely Physically Handicapped Persons)^d.

b. Qualification Requirements. Candidates selected for positions under this Instruction need not meet the requirements established in the OPM Qualification Standards, X-118 or X-118C, for the target position at the time of selection, but they must satisfy the qualification requirements

before being placed into the target position, including minimum educational requirements specified for the series.

c. Evaluation Methods. Evaluation of positions covered under this Instruction will follow the procedures delineated in reference (c), with the following additions:

(1) A three to five member review panel, established especially for each position under this program, will be comprised of a USUHS Equal Employment Opportunity Office representative, a CHR specialist, and one to three persons having knowledge of the trainee position. The selecting official may not participate on the panel.

(2) The assessment of candidates will focus on their potential to succeed in the target position after completion of the training program. The basis of the assessment will be a job analysis of the target position.

(3) The job analysis will identify the KSAs for the target position and those required in order to successfully complete the training. These KSAs will be used in the evaluation and ranking of candidates.

(4) Candidates will be rated and ranked through careful evaluation by the review panel on the quality of their work experience, education and training, awards, and supervisory appraisals.

d. Selection Requirements.

(1) After the candidates have been rated and ranked, a certificate listing the best qualified candidates will be prepared. The best qualified candidates will be grouped together, regardless of grade level eligibility. The review panel will interview all certified candidates and recommend a maximum of three individuals

to the selecting official.

(2) The selecting official will review the recommendations of the panel and may interview the candidates referred by the panel prior to making a final selection.

c. Placement.

(1) The CHR specialist will advise the selectee of the requirements of an Upward Mobility position, the responsibilities of a program participant, and the consequences of non-completion of the program (see section G.8 below). An Upward Mobility Agreement (Enclosure 2), outlining Program responsibilities, will be signed by the employee prior to assignment to the trainee position.

(2) While position changes occurring "at the employee's request" ordinarily preclude salary retention, Office of Personnel Management (OPM) regulations^d grant an exception for employees whose rate of basic pay would otherwise be reduced as a result of entrance into a formal Upward Mobility Program. Therefore, if the selected employee is otherwise eligible, and the salary cannot be accommodated within the rate range, the employee is entitled to pay retention.

3. Development of Trainees.

a. Training Plan. Within 30 days after assignment to an upward mobility position, an IDP must be developed by the supervisor, in consultation with employee development and staffing specialists. This plan should carefully spell out the learning experiences the trainee must undertake in order to acquire the KSAs needed to successfully perform in the target position and make up the difference between the qualifications he/she brings into the program and the experience and/or education required by OPM Handbook X-118. The IDP should

include the following:

(1) On-the-Job Training. At least 50% of the training period must consist of on-the-job training in the target area or in functions closely related to that target position. Duty assignments should be meaningful and productive and provide for supervised development in the target position. Special familiarization assignments may be made to other program areas that relate to the career field, e.g., an assignment in ADP for budget or personnel. Occasionally, the trainee may attend special staff meetings and conferences as orientation to special policy considerations for the activity and the career field. The trainee may be assigned full-time or part-time work with various senior professional staff for special projects. When a trainee is so assigned, the central feature of this development experience will be to learn by functioning in the position.

(2) Formal Training. On-the-job training may be supplemented by formal educational courses which contribute to success in the career field. Such courses, taken at government expense, may be taken at DoD schools, interagency training facilities, colleges, or universities. To the maximum extent possible, formal instruction should be scheduled during normal working hours when trainees are attending in a pay status. Trainees may attend classes on their own time in a non-pay status; however, such attendance may not be used as a condition of selection for the training program. The training plan may not include a requirement for completion of a specific number of semester, quarter, or classroom hours (unless such requirement is part of the X-118 qualification standard) or the attainment of a specified grade point average.

(3) Self-development. Trainees will be encouraged to participate in self-directed development activities. This may include extensive reading from a selective bibliography of materials related to the career field. Trainees will also be encouraged to participate in professional societies and attend local institutions after duty hours with or without financial support from the agency.

b. Length of Training. The length of the training will vary according to the trainee's entry level and the individualized program designed to qualify the trainee for the target position. The time needed to make up the difference in qualifications may range from a minimum of six months to a maximum of two years. Selectees will be credited with two months of X-118 required experience for each month of training they successfully complete under the terms of the USUHS Upward Mobility Agreement. For example, if a trainee needs three years of general experience to qualify for a target position and has no qualifying experience, his/her training time would take at least one and a half years under the terms of this training agreement. A trainee will be considered to have met the requirements established for the target position upon successfully completing the training plan and demonstrating the job element criteria identified for successful performance in the target position. The length of time determined to be necessary for the completion of the program will be stated in the plan. (See Enclosure 3 for a sample training plan.)

4. Evaluation of Trainee's Performance.

a. Progress Reports.

(1) Supervisor. Written supervisory evaluations of the trainee's

progress will be made 60 days after assignment to the trainee position, and quarterly thereafter, using the evaluation form in Enclosure 4. Trainees on a six month training plan will be evaluated bi-monthly. Upon the employee's completion of the training program, the supervisor will submit a final summary evaluation report of the achievement and performance of the trainee.

(2) Trainee. The trainee will prepare a written evaluation of completed training and development assignments and a self-assessment of his/her development, using the evaluation form in Enclosure 5. Trainee assessments are prepared concurrently with the supervisory evaluation reports.

5. Career Counseling. The trainee will receive career counseling before entering the developmental program as well as at appropriately spaced intervals, not to exceed three months, after entering the program. The counseling will be done by the supervisor of the target position, with assistance from the CHR staff.

6. Flexibility Provisions. To avoid frequent minor amendments to the Agreement caused by changes in concepts or methodology in subject fields or trainee needs, it is permissible to:

a. Extend the training period for any individual up to a maximum period of six months.

b. Adjust elapsed training time, as appropriate, in individual cases, to cover contingencies such as sick leave, emergency annual leave, court leave, etc., or the trainee's inability to grasp a portion of the developmental assignment.

c. Alter the sequence of training to

allow for the learning experience to be responsive to actual or cyclical work situations as they arise during the developmental period when conditions or experience indicate the desirability of such changes.

d. Add or modify subject matter material depending on technological changes or the needs of the agency and the trainee.

7. Non-completion of the Training Program.

a. Program participants who fail to meet the performance requirements of the

training program or who leave the program prior to its completion, may be returned to their former positions if they have not been filled or to other positions with similar duties and grades. If the employee entered the upward mobility program by a change to a lower grade, re-promotion to the employee's former grade level will be allowed as an exception to competitive merit promotion procedures.

b. While an employee who fails to complete the program may be placed in another position, the employee has no specific entitlement for such placement.

UPWARD MOBILITY PROGRAM AGREEMENT

Ref: Job Opportunity Announcement No.:

Target Position:

Trainee Position:

Name:

Position from which selected:

Date entered Program:

Proposed completion date:

I, the undersigned, agree to participate in the USUHS Upward Mobility Program under a formal training and development plan specifically designed to provide me with the opportunity to acquire the necessary knowledge and skills to qualify for my target position. I understand that this plan will be considered as an integral part of this agreement.

I am willing to undergo on-the-job training, attend job-related academic or technical courses, and engage in appropriate self-development activities, such as prescribed reading, as may be set forth in my plan. I also agree to prepare and submit all required progress reports.

During the training period, which will be for a period of _____, I understand that I will be assigned to a trainee position and that, upon successful completion of the training and recommendation by my supervisor, I will be reassigned or promoted, as the case may be, to the target position.

If I do not, for any reason, satisfactorily complete the requirements of the program, I understand that I may be reassigned to my former position or a similar position at the same grade level of the position I occupied prior to entering the trainee position. If I entered the program by change to a lower grade, I may be reassigned to an appropriate position at the lower grade level.

I have had the opportunity to discuss the procedures and provisions of the program to my satisfaction. I enter into this agreement voluntarily and affirm that I will put forth my best effort to succeed.

Employee

Date

Training Officer

Date

Supervisor

Date

Staffing Specialist

Date

SAMPLE TRAINING PLAN

TARGET POSITION: MANAGEMENT ANALYST, GS-343-7

BACKGROUND

The candidate who was selected for this training is a Management Assistant, GS-3445. He has worked in this position for approximately 3 years.

As a Management Assistant, Mr. B_____ conducts workflow studies and prepares descriptive reports, including suggestions for improvement. He studies new office machines and equipment (to be acquired by the activity) that are designed to improve and expedite workflow, and recommends accepting or rejecting them. His responsibilities include conducting work measurement studies by reviewing job processes, working conditions, space layout, and workflow. He uses time and motion data and engineering estimates to determine that established standards are being met.

Mr. B_____ completed the "Seminar for Middle Managers" course at the Army Management Engineering Training Activity (AMETA), Rock Island, Illinois, which is designed to provide managerial personnel with knowledge of the techniques, tools, principles, and systems used in the management process. The selection and use of the proper techniques are also emphasized.

SAMPLE INDIVIDUAL TRAINING PLAN

1. Name: William B _____
2. Present Grade and Series: Management Assistant, GS-344-5
3. Target Grade and Series: Management Analyst, GS-343-7
4. Date Entered Program: 1 January 1993
5. Duration of Training: Minimum 6 months
6. Objective: To provide a systematic program for Mr. B _____ to acquire the skills, knowledge, and abilities required to be able to prepare tables of organization, collect and tabulate reporting statistics, make comparisons of organization charts, exhibit acceptable techniques when interviewing supervisors and employees to obtain simple factual data, prepare plant or office layout charts, etc.
7. Supervisor: Ms. Hilary C _____, GS-343-13
8. Reports: Mr. B _____ will submit progress reports, and Ms. C _____ will provide evaluation reports on these dates:

1 March 1993	1 September 1993
1 June 1993	1 December 1993

(Enclosures 4 and 5 to this plan contain suggested formats for these reports.) All reports will be sent to the Training and Career Section of Civilian Human Resource Directorate no later than 5 calendar days after each due date.

9. Flexibility Provisions: To avoid numerous minor amendments to the agreement caused by variation in mission, changes in concepts or methods in subject fields, or trainee needs, it is permissible to modify this Training Agreement as described in Section G.7. of this Instruction.

10. Elements of Developmental Plan:

- a. Formal Instruction. The following courses will be taken on the dates indicated:
 - (1) Systems and Procedures Analysis, AMETA, 11-22 January 1993 (2 weeks).
 - (2) Elements of Management Analysis, OPM, 8-12 February or 22-26 March 1993 (1 week).
 - (3) Interviewing Techniques, OPM, 19-20 April 1993 (2 days).
 - (4) Statistics (after hours to begin February 1993).
- b. On-the-Job Training. After Mr. B _____ has completed each of the courses, he will be given an opportunity to apply the skills and knowledge he learned to a job situation. He

should be able to prepare tables of organization, make comparisons on organization charts, exhibit acceptable techniques when interviewing supervisors and employees to obtain simple factual data, prepare plant or office layout charts, and collect and tabulate reporting statistics (2 weeks).

c. Correspondence Course. Practical Statistics, National Independent Study Center (OPM).

11. At the outset and during the period of agreement, counseling is available to the trainee by the USUHS Training Officer, the Equal Employment and Affirmative Action Division, as well as the Staffing Specialist, Civilian Employment Division (CED).

12. The USUHS Training Officer will review the trainee and supervisory evaluations and certify in writing whether the trainee has successfully completed the training program.

13. Upon the employee's successful completion of this training program, the supervisor will initiate the Request for Personnel Action (SF-52) to effect placement in the target position.

14. Expected Completion Date:

Approved:

Training Officer

Date

Staffing Specialist

Date

Employee

Date

Supervisor

Date

UPWARD MOBILITY TRAINING PROGRAM EVALUATION REPORT
SUPERVISORY EVALUATION

Name: _____ Trainee: _____

Reporting Period: From _____ To _____

1. List the trainee's assignments for this training period. Please comment on the overall performance of these assignments.

2. Is the overall training plan on schedule? If not, should the plan be modified, and how?

3. Describe the trainee's adaptation to the new career field. For example, is the trainee demonstrating familiarity with the "tools of the trade" (manuals, procedures, documentation requirements), and is the trainee networking with others in the field?

4. Is the learning ability displayed so far sufficient to demonstrate that the trainee has the necessary knowledge, skills and abilities required by the target position?

5. Trainee's overall performance to date:

Outstanding____ Highly Satisfactory____

Satisfactory____ Marginal____ Unsatisfactory____

6. Percentage of Training completed:

25%____ 50%____ 75%____ 90%____ 100%____

7. Remarks:

8. Has this rating been discussed with the employee?

Yes____ No____

Supervisor: _____ Date: _____

Trainee: _____ Date: _____

UPWARD MOBILITY TRAINING PROGRAM EVALUATION REPORT

TRAINEE EVALUATION

Name: _____ Supervisor: _____

Reporting Period: From _____ To _____

LIST ASSIGNMENTS GIVEN:

1. Explain how these assignments increased your knowledge of the technical requirements of your position.

2. Describe briefly all classroom training, correspondence courses, seminars or meetings which you have attended during this evaluation period.

3. Explain how the training has assisted you in accomplishing the training objectives which are outlined in your training plan?

4. In what areas do you feel you need further training (on-the-job and/or formal)?

ADDITIONAL COMMENTS:

Trainee: _____ Date: _____

Supervisor: _____ Date: _____