

DEPARTMENT OF THE ARMY
U.S. ARMY ENGINEER DISTRICT WILMINGTON
P.O. BOX 1890
WILMINGTON, NORTH CAROLINA 28402-1890

CESAW-CP
District Regulation
No. 690-1-43

8 April 1999

Civilian Personnel
UPWARD MOBILITY PROGRAM

1. PURPOSE. This regulation prescribes policies and procedures and assigns responsibilities for the development and operation of the Wilmington District Upward Mobility Program.
2. APPLICABILITY. This regulation is applicable to career and career-conditional employees at grades GS-8 and below and wage grade equivalents. It applies to Classification Act and Wage Grade employees without regard to race, color, religion, age, sex or national origin.
3. REFERENCES.
 - a. AR 690-300, Chapter 300, Subchapter 14.
 - b. 5 CFR Part 410.
 - c. AR 690-400, Chapter 410.
 - d. CESADvR 690-1-27, dated 31 July 1992.
 - e. ER 690-1-714
4. GENERAL. The Upward Mobility Program is designed, in support of organizational and mission requirements and within available resources, to assist employees to enhance their skills, perform at their highest potential and advance in accordance with their abilities. In principle, it encourages self-improvement and supports procedures and policies which provide opportunity for advancement. As a formal program, it identifies positions which, when vacant, could be filled at a lower grade. If a position is designated as an Upward Mobility position, the selectee has a built-in opportunity to advance in that position to a higher grade when the ability to perform at a higher level has been demonstrated and other regulatory requirements have been met. All such selections must be made in accordance with merit principles. Employees should keep in mind that the Upward Mobility Program is not the sole method of filling positions

*This regulation supersedes District Regulation 690-1-43 dated 1 October 1977

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nor the only means by which employees may improve their abilities to compete for jobs at higher grades. Management may decide not to fill a vacancy even after receiving a properly developed Referral and Selection Register, or may elect to fill from another source, e.g., reinstatement eligibles.

5. DEFINITION. The Upward Mobility Program is a systematic management effort which focuses on the implementation and development of specific career opportunities for lower-level employees (usually at GS-8 and below and/or wage grade equivalents) who are in dead-end positions and who have the potential to perform higher-level work. To be effective, managers and supervisors must identify target positions, allocate spaces, select trainees, provide career counseling, establish appropriate training programs, and monitor and evaluate progress and achievements.

6. RELATIONSHIP TO EQUAL EMPLOYMENT OPPORTUNITY. The Upward Mobility Program is available to all employees; however, due to the disproportionate concentration of minority, women, and handicapped employees in the lower-grade levels, emphasis will be provided to insure their representation in this area.

7. RESPONSIBILITIES.

a. The District Commander is responsible for:

(1) Assuring an effective Upward Mobility Program is developed in accordance with referenced CFR, ER, AR, and this regulation.

(2) Assuring that managers and supervisors are familiar with program concepts in order to provide their total support of this program.

(3) Assuring adequate resources are allocated to support the program by including program costs as a regular part of the budget planning cycle.

(4) Assuring minority, women, and handicapped employees are involved in this program by developing specific goals and objectives for inclusion of minority, women, and handicapped employees into the Upward Mobility Program.

(5) Determining the number and kinds of vacancies to be used in implementing the Upward Mobility Program.

b. The Civilian Personnel Advisory Center (CPAC) in conjunction with the Civilian Personnel Operations Center (CPOC) and line managers will:

(1) Appoint a member of the CPAC staff to be the overall coordinator for the local Upward Mobility Program. This coordinator (preferably one at the journeyman level) must be dynamic and able to work with other functional specialists and operating officials to make the Upward Mobility Program a working program and not just another paper program.

(2) Provide career counseling to participants.

(3) Maintain close coordination with the Equal Employment Opportunity Officer in the execution of the local Upward Mobility Program.

(4) Assure that all selections made under the program are in accordance with the Federal Merit System.

(5) Assure that all positions are established in accordance with sound position management practices.

(6) Maintain records and submit reports as required concerning implementation and employee participation.

(7) Periodically evaluate the total program.

c. The Upward Mobility Program Coordinator will:

(1) Be responsible for administering and coordinating the Upward Mobility Program.

(2) Counsel or provide counseling for Upward Mobility Program participants.

(3) Monitor Upward Mobility education and training.

(4) Provide advice and assistance to supervisors in preparation of development plans for employees who have been selected to participate in the program.

(5) Keep the Equal Employment Opportunity Officer advised on progress being made in the program and provide information for required reports.

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(6) Maintain appropriate records concerning program implementation and employee participation.

(7) Conduct program evaluation and analysis.

d. Managers and supervisors will:

(1) Administer the provisions of the Upward Mobility Program applicable to their activities.

(2) Consider the re-engineering of each vacancy to a level that would provide advancement opportunities for lower grade level employees. In addition, consider establishing Upward Mobility positions to meet future staffing needs based on analysis of attrition patterns and future workload.

(3) Indicate in remarks on each Request for Personnel Action, SF52, for recruitment the basis for the supervisor's review/decision regarding the position's suitability for Upward Mobility.

(4) Identify skills, knowledges, abilities and personal characteristics for satisfactory performance in Upward Mobility positions.

(5) Insure that all employees receive fair and equitable treatment in the selection process.

(6) Counsel employees regarding requirements for specific career goals and objectives.

(7) Develop career development plans on employees who have been selected to participate in the program to facilitate advancement to the target level.

(8) Provide resources support as authorized and required for Upward Mobility employees who participate in educational and training programs.

(9) Evaluate progress of participating employees quarterly. Make adjustments to development plans, if warranted.

e. Employees participating in the program must assume certain responsibilities to assure that the program will be effective. Each employee will:

(1) Establish realistic career goals and objectives consistent with mission requirements.

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(2) Diligently pursue training and development assignments in accordance with their individual development plan.

(3) Cooperate in career planning, counseling and appraisal.

(4) Devote any necessary off-duty time required to achieve established goals.

f. The Equal Employment Opportunity Officer will:

(1) Participate in Upward Mobility Program development and review and analysis of the local program.

(2) When required or needed, will participate in training, briefing and counseling.

8. SELECTION PROCEDURES. Opportunities under the Upward Mobility Program will be publicized by issuing vacancy announcements under the Merit Promotion Plan. These announcements will state that the employee selected at the entrance level will be given the opportunity under a developmental plan to achieve the grade level of the target job which will also be included in the announcement. Selected employees for Upward Mobility positions will be prepared either by on-the-job experience, through self-development activities, by formal training courses or by a combination of these to progress to the target level. Interested employees must compete for entry level positions. Wage Grade and General Schedule employees who are reduced in grade for the purpose of participating in the Upward Mobility Program covered by a training agreement will, if otherwise eligible, be entitled to pay retention under the provisions of 5 CFR Part 536 and CESADvR 690-1-15 dated 1 June 1986.

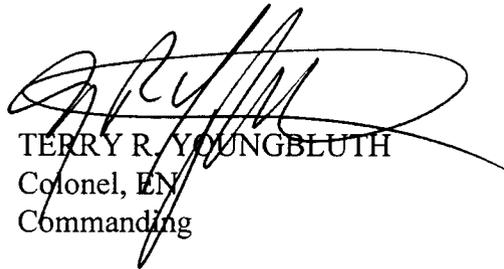
9. FAILURE TO COMPLETE UPWARD MOBILITY ASSIGNMENTS. Failure of a trainee to satisfy all requirements of a training program within specified timeframes will result in the trainee being (1) reassigned into a vacant position for which qualified at the grade level attained under the Upward Mobility Program or the highest level previously held upon entering the program, whichever is higher, or (2) separated from the Federal service in accordance with existing regulations. Failure of a supervisor to carry out his/her responsibilities as outlined herein is grievable under applicable regulations/procedures.

10. REDUCTION IN FORCE. Employees assigned to formal Upward Mobility Program positions covered by a formal training agreement will be carried in separate competitive levels. They will compete normally in reduction in force, except that these employees will be accorded protection from being displaced by journeymen or fully trained employees in their career field, in accordance with regulation.

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11. DEVELOPMENTAL PLAN. A developmental plan will be prepared for every participant in the Upward Mobility Program. See Appendix A for format. The plan will include an identification of the skills, knowledges and abilities required to perform the position; a systematic plan for the trainee to learn or acquire these skills, knowledges and abilities; and method(s) for their attainment. In addition, the plan will specifically state the target job, minimum duration of training, type of training, and promotional opportunities involved. The training will include on-the-job training and/or formal classroom training through agency, interagency or non-government facilities. Temporary job assignments across organizational lines are encouraged to be used when appropriate.

12. COUNSELING AND EVALUATION. Employees selected for the Upward Mobility Program will receive counseling at appropriately spaced intervals after entering the program to assure they progress satisfactorily. This counseling will be accomplished by supervisors with assistance from the EEOO and the Upward Mobility Program Coordinator as needed. Supervisors and employees will complete an ENG Form 4496-R, Upward Mobility Evaluation, every three months until the employee is placed in the target position. This form is available from the Forms Control Officer. All evaluations will be forwarded through supervisory channels to the CPAC within ten days after the reporting period. A supervisor's failure to provide evaluations as required will be brought to the attention of the next higher level management official.



TERRY R. YOUNGBLUTH
Colonel, EN
Commanding

APP A - Dev Plan Format

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APPENDIX A

DEVELOPMENTAL PLAN FORMAT

I. ADMINISTRATIVE INFORMATION

Name; entry-level title, series, and grade; target-level title, series, and grade; date entered program; expected duration for total program as well as by grade; organizational element; supervisor; etc.

II. POSITION AND SKILL LEVEL INFORMATION

Definition of Knowledges, Skills and Abilities (KSA) required by the job based on job analysis.

III. TRAINING AND EDUCATION OUTLINE GEARED TO ABOVE DEFINED KSA

If by OJT, what will be done, who will do it, and dates to be completed.

If by formal training, include the following information:

Titles of courses, projected course dates, dates of completion, cost of each training course and total cost of training plan.

In addition to job-related training and education, include self-development training and education and work-related experience with projected dates to be completed, cost, etc.

IV. MISCELLANEOUS STATEMENTS

Statement of Supervisor in agreement to outline (input as to performance standards and time off as well as availability of funds, etc. particularly important).

Statement of Employee in agreement particularly as concerns availability of time, understanding of commitment, and understanding that if the training plan is not complete satisfactorily, and within the given time frame, the employee will be assigned to a vacancy for which qualified at the grade level attained under the program or the highest grade level previously held entering the program, whichever is the higher, or separated from the Federal service.

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Statement of the CPAC that the outline of the plan together with the individual's previous experience, if completed in a satisfactory manner, will satisfy the qualification requirements (QSH) for the target position at the level stated in the plan.

Statement that the plan may be modified with the consensus of all parties and to comply with legal requirements.

Statements as to what will be the evaluation points, who will do the evaluations, where the evaluations should be sent, what forms will be used and anything else that needs to be mentioned in this area.