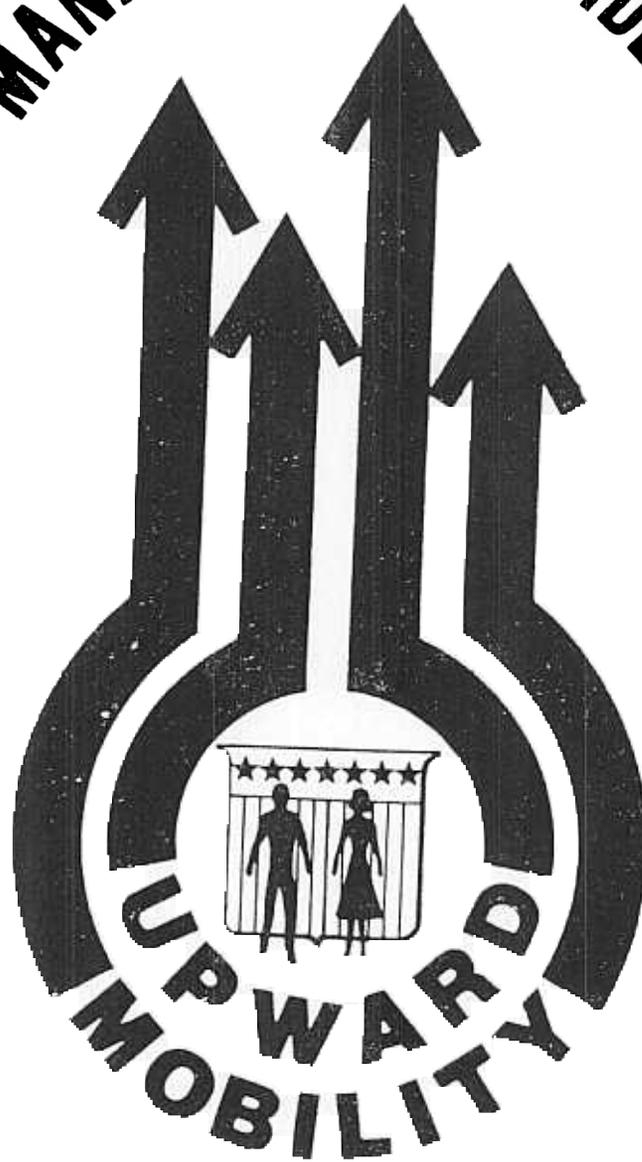


Headquarters Fort Sam Houston

FSH AM 690-8



MANAGEMENT'S GUIDE TO



FORT SAM HOUSTON, TEXAS 78234

De

FOREWORD

The Federal Government has its greatest investment in people. As an employer each Federal agency seeks to carry out its mission through people and thereby reach its established goals and purposes. People as employees also have goals and aspirations. When these two sets of goals can mesh and complement each other, mission accomplishment is optimized.

This pamphlet has been prepared to assist managers and supervisors of civilian personnel in designating upward mobility positions which can enable lower-level employees to utilize skills and education to their maximum potential while at the same time meeting Equal Employment Opportunity Affirmative Action Program Goals.

The information was specifically written to provide general "how to do it" operating guidance in a clear and concise manner with the more technical information synopsized or referenced. For this reason, specific guidance in accomplishing individual actions in support of the program may require direct contact with the appropriate branch of the Civilian Personnel Office.

It is hoped that managers and supervisors of all serviced activities will find this to be a useful and informative tool in accomplishing their assigned personnel management responsibilities.

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Civilian Personnel Officer

DEPARTMENT OF THE ARMY
HEADQUARTERS, FORT SAM HOUSTON
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Civilian Personnel
MANAGEMENT'S GUIDE TO UPWARD MOBILITY

1. PURPOSE. The purpose of this pamphlet is to guide supervisors and managers in the use of the Upward Mobility Program to make more promotional opportunities available to the work force. They will find a valuable tool in the program that can be used to staff higher level positions and at the same time improve promotional opportunities for lower-graded employees.
2. BACKGROUND. Upward Mobility is not a new concept within the Department of the Army. It has been around in various forms for a long time. Many organizations have traditionally established career ladders or set up training or intern positions which aided the advancement of their employees. Not all employees in lower-level positions, however, had an opportunity to advance. In 1969 the President issued Executive Order 11478 which required agencies to better "utilize ... the present skills of each employee ... and ... provide the opportunity for employees to advance in accordance with their abilities." This was followed by the EEO Act of 1972 which required agencies to plan "for the establishment of training and education programs designed to provide opportunities for employees to advance." Since the passage of this act, locally developed objectives for the Upward Mobility Program have been incorporated in the Equal Employment Opportunity Plan of Action. Special emphasis is placed on certain targeted occupations under the Federal Equal Opportunity Recruitment Program (FEORP).
3. UPWARD MOBILITY NEEDS ASSESSMENT. The best way for a supervisor or manager to determine the need for upward mobility is to examine the turnover and hiring experience of the organization. First the supervisor should look at the sources of candidates which have traditionally been used to fill higher-graded vacancies in the organization. Some recruitment from external sources (i.e., appointments from OPM registers, transfers from other agencies, reinstatements, etc.) may be desirable in many cases. Candidates from external sources can provide skills not available in the work force as well as bring fresh ideas and approaches into the organization. Filling too many higher-level positions through external recruitment, however, can have a serious effect on the morale and motivation of current employees who occupy lower-level jobs. When the structure and hiring practices of an organization prevent the advancement of highly capable lower-graded employees, they are likely to become frustrated. This frustration can manifest itself in a number of ways: low productivity, disciplinary problems, employee complaints, and high turnover. Each of these effects can be very costly to the organization. Probably the most costly effect is the one that results

*This pamphlet supersedes FSH Pam 690-8, 31 May 78.

from management not making effective use of some of the organization's most talented employees. A good tool for the elimination of barriers to the advancement of employees is the Upward Mobility Program. The program can be used to develop the present work force to meet current or anticipated staffing needs. It offers management a means to select and train employees for positions which might otherwise be difficult to fill.

4. UPWARD MOBILITY BENEFITS

a. The implementation of upward mobility efforts where needed can lead to improvement in such areas as:

(1) Morale - Employees who see that management has a sincere interest in their further development are likely to be happier in their jobs.

(2) Greater Job Satisfaction - Employees who are given the opportunity to perform duties that they find more challenging are likely to be more satisfied with their jobs.

(3) Productivity - Organizations which are well-structured and staffed by employees who are satisfied with their jobs and the promotional opportunities available to them are generally more productive.

(4) Skill Utilization - Organizations can make better use of scarce occupational skills by establishing intermediate positions which relieve skilled journeyman-level workers of their less challenging tasks. Such positions provide promotional opportunities for lower-graded employees and can lead to further advancement later.

(5) Reduced Turnover - Employees who feel that the organization offers them a chance to achieve their full work potential are less likely to leave the organization. Employees hired at the trainee level are more likely to stay in their positions longer because they know that they can expect to be promoted up to the target grade level.

(6) EEO Progress - Many organizations will find they have imbalances in the distribution of women and minority employees within their work force. Too often these employees are concentrated in lower-level jobs. Since upward mobility is designed to increase promotional opportunities for people in such jobs, it is likely to benefit female and minority workers in direct proportion to the number of them who occupy lower-level jobs.

(7) Greater Continuity - When employees are selected from internal sources, they are often already familiar with the structure and operations of the organization. They have a better idea of what will be expected of them in the new job than someone coming from the outside.

b. Upward mobility does not mean that management will be required to expend resources unnecessarily. Two conditions must be met before resources can be devoted to the preparation of employees for advancement under the Upward Mobility Program. First, management must determine that the use of the resources is really necessary in order to fill the position with a qualified employee. It would not be appropriate to train an employee for a position if there were already an adequate supply of well-qualified candidates within the work force. Preparing a less-qualified employee for such a position would be a circumvention of the merit system. Secondly, management must ensure that the training will be utilized upon completion. This means that a specific target position must be identified before the employee begins the training. Selections for upward mobility positions which lead to advancement must be accomplished under regular merit promotion and placement procedures.

5. METHODS OF IMPROVING OPPORTUNITIES

a. Some organizations are structured in such a way that they clearly provide avenues of advancement for their employees. There are positions available at entry levels which require no specialized experience. These positions in turn provide the incumbents with the skills, knowledges, and abilities they need to advance to higher-level positions within the organization. In such an organization, career counseling may be the only technique of upward mobility necessary. Many organizations, however, have "built in" barriers to the advancement of lower-level employees within their position structures. These barriers become obvious when the organization examines its sources of recruitment. If higher-level vacancies are being filled through external recruitment, a barrier probably exists. This barrier prevents members of the current work force from gaining the qualifications they need for advancement. There are three basic approaches to overcoming such barriers:

(1) Job restructuring involves permanent changes in the structure of the organization to create a career ladder. This can be accomplished by removing routine duties from journeyman-level jobs and concentrating them in intermediate level positions. These positions then provide promotional opportunities to employees occupying entry level jobs. In some cases, they will serve as a "bridge" to an even higher-level job. At the technician level, an employee may gain the experience necessary to lateral into a journeyman-level trainee position. As an example, an employee who is competitively selected for a Supply Technician, GS-2005-5 trainee GS-2005-7, may gain the qualifications necessary, upon completion of the training program, to compete and be selected for a General Supply Specialist, GS-2001-7 trainee GS-2001-9, at a later date. (Sample at Figure 1) Employees who progress through the ranks in this manner tend to gain a solid background in their specialty and be more productive than a journeyman with less experience. Job restructuring can also increase the job satisfaction of the remaining journeyman-level workers by eliminating subjourneyman-level tasks from their jobs.

(2) Upward mobility trainee positions can also be established to provide upward mobility job opportunities. One way to do this is by downgrading a vacant position temporarily to a trainee level. Another way is to set up a central pool of spaces to train selected employees for anticipated vacancies. A target position should meet all of the following conditions before being filled at a trainee level:

(a) There is a current or anticipated need to fill the position.

(b) The position is established at a level that represents promotional opportunity for members of the current work force.

(c) The position is difficult to fill at the established grade level through internal recruitment (i.e., there are few well-qualified candidates available under local merit promotion and placement procedures).

(d) The organization has the financial and personnel resources to provide the training and development needed to qualify the selected employee for the target job.

(e) The position can be restructured to a level that is low enough to ensure an adequate supply of high potential internal candidates.

(f) The position is not in a professional series which requires an academic degree for basic qualification. (The Government Employee's Training Act prohibits training an employee for the sole purpose of obtaining an academic degree needed to qualify for a position.)

(3) Intern positions offer another means of providing additional promotional opportunities to members of the current work force. Most major Army commands allocate spaces and funds for the employment and training of interns to their installations and activities. Intern positions are normally filled at the GS-5 level where no specialized experience is required. Many current employees are qualified for entrance into the nonprofessional career fields at this level. Activities can also use their own resources to establish "installation intern" positions. Installation interns are hired on currently authorized spaces and can be trained along "functional" lines to perform the duties of a specific target job. Installation intern positions are often more attractive to members of the current work force than command intern jobs because they are not required to enter into a mobility agreement if selected. Management can consider the use of Army Mobility Opportunity Development (AMOD) positions if it is determined that the qualification requirements of the normal intern entry level are too restrictive. AMOD interns are hired at the GS-4 through GS-7 levels in noncareer series (generally 301) and trained for entrance into the career field as career interns. Once they complete their pre-internship they may be placed noncompetitively in the intern program at the GS-5 or GS-7 level.

b. Once an upward mobility target position has been identified, a training plan must be developed to equip the selected employee with the skills, knowledges, and abilities needed to perform at the target grade level. The progress of the trainee must be carefully monitored. Once the employee has satisfied the performance and qualification requirements of the target job, he/she can be promoted without further competition. Trainees who fail to meet expectations are subject to removal from the program and placement in other positions, as appropriate. The trainee approach can result in a temporary loss of productivity while the employee learns the new job. One solution to this problem is for the organization to establish a central pool of spaces in order to train employees for anticipated vacancies. This approach makes it easier for first-line supervisors to provide upward mobility opportunities for lower-level employees. It also can increase the production of the work unit which gains the extra position. Once the vacancy occurs, there is no delay in filling it. The employee is merely reassigned from the central pool into the vacant position. The space can either be refilled as part of the pool or reallocated from the pool to other uses if it has served its purpose in the pool. This approach is especially effective where the incumbent is the only one who has the expertise to train his/her replacement. Managers are often surprised by how quickly upward mobility trainees can become productive. Frequently, their superior potential results in better ultimate job performance than if a mediocre journeyman had been hired in the first place.

6. UPWARD MOBILITY CAREER COUNSELING.

a. One of the most effective and least expensive ways of preparing capable employees for advancement is through career counseling. It can show the employee how to advance within the existing career structure. In most cases, the supervisor should provide career counseling to his/her own employees. If the supervisor is unable to provide the counseling, assistance can be obtained by contacting the Upward Mobility Coordinator, Training and Development Branch, Civilian Personnel Office (CPO). Career counseling is provided by the Upward Mobility Coordinator by appointment, upon request.

b. Upward Mobility Counseling (Career Planning) sessions are conducted once a quarter for specified career fields (i.e., Civilian Personnel Management, Comptroller/Financial Management, Supply Management, Procurement Management, Automatic Data Processing, and Manpower Management). These sessions are designed to assist the employee in assessing his/her qualifications and determining the steps necessary to achieve their career goals. The Career Planning sessions are publicized in the Daily Bulletin and employees are required to submit a FSH Form 2201-1, "Request for Upward Mobility Counseling, to the Training and Development Branch, CPO, if he/she is interested in attending the publicized session.

7. TRAINING AGREEMENT AND EVALUATION FORM.

a. Once an employee has been competitively selected for an upward mobility position, he/she is required to sign an Upward Mobility Training Agreement. (Sample at Figure 2)

b. On a quarterly basis, the trainee is required to be evaluated by his/her supervisor utilizing FSH Form 2250. (Sample at Figure 3)

8. CONCLUSION. The responsibility for an effective Upward Mobility Program rests primarily with management. Individual supervisors and managers are evaluated on how well they support the program during their annual performance ratings. Specific goals for the program are contained in the current EEO Plan of Action. Organizations will be kept abreast of their status in relation to the Department of the Army goal by means of a periodic Upward Mobility Progress Report which will be provided by CPO. The choice of techniques to use in making upward mobility opportunities available to the work force is up to management. Care should be taken to ensure that upward mobility is suited to a particular staffing situation before effort and resources are expended preparing employees for target jobs. An Upward Mobility Checklist (Sample at Figure 4) lists factors to be considered in determining the need for and establishing an Upward Mobility Program. Assistance in counseling employees, restructuring jobs, and developing training plans is available from CPO.

TRAINING AGREEMENT					
NAME OF EMPLOYEE _____					
2. POSITION, TITLE, SERIES, AND GRADE			Target Level		
a. Entry Level					
3. ORGANIZATION: Major Organization, Directorate, Division				4 PROGRAM	
5. CONDITIONS OF AGREEMENT					
<p>a. Training: The employee is responsible to participate in and complete an individual training program designed to prepare him/her to assume the duties and responsibilities of the target level grade. The training program will consist of any or all of the following: formal and informal training, on-the-job training (OJT), and self-development efforts. The training plan will specify the methods in each particular instance.</p> <p>b. Progression to Intermediate or Target Grade Levels:</p> <p>(1) Promotion will occur when: the position is established and classified at the next grade level; the employee has satisfied the prescribed training requirements and training objectives outlined in the training plan and is recommended for promotion by the supervisor; the employee meets all regulatory requirements such as time in grade and time after competitive appointment, etc.; and the employee possesses the qualification requirements specified under the Office of Personnel Management Handbook X-118 for the next scheduled level.</p> <p>(2) In accordance with the criteria outlined in 5b(1) above, the following are the earliest dates when the employee will meet qualification and other regulatory requirements for promotion. Promotions may not be made before these dates, but may be made later if dictated by the training plan or the trainee's performance. Promotions will be effected on the first day of the pay period following the date that all requirements are met, as certified by Civilian Personnel Office.</p>					
INTERMEDIATE GRADE LEVEL Month Year		INTERMEDIATE GRADE LEVEL Month Year		TARGET GRADE LEVEL Month Year	
SIGNATURE OF STAFFING SPECIALIST				DATE	
SAMPLE					
<p>(3) In the event the employee fails to satisfactorily progress in the training program, alternate placement, removal, or disciplinary actions may be taken as appropriate and in accordance with established procedures.</p>					
6. EMPLOYEE STATEMENT					
<p>I agree to participate in and satisfactorily complete a training program to be established by my supervisor. I understand that upon successful progression and/or completion of the training program, I will be promoted through intermediate to target grade levels as indicated in para 5b(2). I also understand that failure to progress or complete the training program could be grounds for disciplinary action, alternate placement, or removal.</p>					
EMPLOYEE SIGNATURE				DATE	
7. SUPERVISOR STATEMENT					
<p>I agree to establish a training program for this employee and to prepare a detailed training plan within 30 days after placement into the position indicating specific training objectives the employee must meet in order to satisfactorily progress and complete the program.</p>					
SUPERVISOR'S NAME and SIGNATURE				DATE	

FSH FORM 345* Converted from CP FORM 345*, 1 Sep 83, which is obsolete.
1 Dec 83 (CPO)

Figure 2

SPECIAL EMPLOYMENT PROGRAM
EMPLOYEE EVALUATION

NAME:	EVALUATION PERIOD: From: _____ To: _____
ORGANIZATION:	TITLE/SERIES/GRADE:
PROGRAM: <input type="checkbox"/> VRA <input type="checkbox"/> WORKER/TRAINEE <input type="checkbox"/> CO-OP <input type="checkbox"/> UPWARD MOBILITY	
1. EMPLOYEE EVALUATION: (What areas of the training program were covered during the reporting period? What additional formal or OJT training was accomplished? If more space is needed, please use reverse.)	
<h1>SAMPLE</h1>	
2. PERFORMANCE EVALUATION: (Select the appraisal value which best describes the truth of the statement as it relates to this employee. OUTSTANDING and UNSATISFACTORY ratings must be supported by a narrative statement on the reverse. MARK WITH APPROPRIATE LETTER: O-Outstanding, E-Excellent, S-Satisfactory, U-Unsatisfactory)	
<u>STATEMENT</u>	
_____ a. ABILITY TO LEARN - Consider ease and rapidity of understanding new instructions and adapting to new situations.	
_____ b. COOPERATION - Consider ability to maintain good working relations with co-workers.	
_____ c. INITIATIVE - Consider ability to perceive what needs to be done and willingness to go ahead without being told every detail.	
_____ d. INDUSTRY - Consider the energetic application of effort to accomplish assigned duties on a daily basis.	
_____ e. JUDGEMENT - Consider soundness of decisions and recommendations.	
_____ f. RELIABILITY - Consider accomplishment of required tasks within time allotted, attendance and punctuality.	
_____ g. PERSONALITY - Consider appearance, manners, and temperament. Also consider ability to inspire confidence and respect.	
_____ h. CAPACITY FOR FUTURE GROWTH - Consider the trainee's capacity for future growth and development in their work.	
3. RECOMMENDATIONS: (Check where appropriate)	
_____ a. Employee has shown sufficient progress to be retained in the program.	
_____ b. Employee has shown sufficient progress to be converted/promoted in accordance with training plan. (Activity initiates action when applicable - SF-52.)	
_____ c. Employee needs additional OJT or formal training. (Specify on reverse.)	
_____ d. I would like to meet with an Employee Development Specialist concerning the training of this employee.	
_____ e. I would like to discuss conduct/performance problems of this employee with a CPO representative.	
_____ SUPERVISOR'S SIGNATURE	_____ DATE
_____ EMPLOYEE'S SIGNATURE	_____ DATE
_____ SPECIAL PROGRAM COORD, CPO	
_____ DATE	

UPWARD MOBILITY CHECKLIST

1. What benefits can be expected from making more promotional opportunities available to the work force?
2. Does my organization have career ladders that provide avenues for the advancement of employees in lower-level jobs?
3. Could the organization be permanently restructured to provide employees in lower-level jobs with better advancement opportunities?
4. Have I made sure that all employees, especially high-potential employees, have had the opportunity to receive career counseling?
5. Are there some anticipated higher-level vacancies in my organization which can't be filled through the promotion of a currently qualified employee?
6. Are any of these positions unsuited to upward mobility because of an academic degree requirement?
7. Would it be possible to downgrade a hard-to-fill vacancy to a trainee level in order to make it available to candidates from the current work force?
8. Can an authorization not currently being filled elsewhere be used to train an employee for a target job in anticipation of a vacancy?

Figure 4

The proponent office of this pamphlet is the Civilian Personnel Office. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) to the Commander, Fort Sam Houston, ATTN: AFZG-CP, Fort Sam Houston, Texas 78234.

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