



**Environmental Management Consolidated Business Center (EMCBC)**

**Subject: Upward Mobility Program**

PROGRAM DESCRIPTION

APPROVED: (Signature on File)

EMCBC Director

ISSUED BY: Office of Human Resources

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**1.0 PURPOSE**

To establish a Department of Energy (DOE), Environmental Management (EM), Consolidated Business Center (CBC) Upward Mobility Program (UMP), which will provide and improve career opportunities for those employees who have demonstrated high potential and interest, but lack specific qualifications for assignment to certain career fields or positions that will extend their career opportunities.

**2.0 SCOPE**

The scope of this program description is to provide guidance for filling vacancies at a developmental level.

**3.0 APPLICABILITY**

This program description applies to all CBC and CBC-serviced employees who meet the eligibility criteria stated in Section 6.1.

**4.0 REQUIREMENTS and REFERENCES**

**4.1 Requirements**

4.1.1 5 CFR 335, "Promotion and Internal Placement"

4.1.2 5 CFR 410, "Training"

4.1.3 5 CFR 720, "Affirmative Employment Programs"

**4.2 References**

4.2.1 P.L. 85-507, "The Government Employees Training Act of 1958"

4.2.2 5 USC 41, "Training"

4.2.3 5 CFR 335, "Promotion and Internal Placement"

4.2.4 5 CFR 410, "Training"

4.2.5 5 CFR 536, “Grade and Pay Retention”

4.2.6 5 CFR 720, “Affirmative Employment Programs”

5.0 DEFINITIONS - Not Applicable

6.0 RESPONSIBILITIES

6.1 Director, EMCBC, exercises overall Human Capital Management authority in accordance with current laws/statutes, DOE guidance, and the provisions of this Program.

6.2 Assistant Director, EMCBC, Office of Human Resources (OHR) administers the UMP, to ensure compliance with applicable laws, regulations and DOE guidelines, and monitors effectiveness of program implementation as necessary.

6.2.1 Work with OHR to help implement the UMP;

6.2.2 Decide which vacancies will be filled through the UMP;

6.2.3 Restructure vacant positions as necessary to provide upward mobility trainee and target positions;

6.2.4 Ensure sufficient training and travel funds are available to complete the proposed training;

6.2.5 Develop the trainee’s memorandum of understanding (MOU), training and development plan (TDP), and any needed TDP modifications, and submit them to OHR;

6.2.6 Select upward mobility participants from merit promotion selection certificates;

6.2.7 Provide counseling, on-the-job training, and other preparatory activities necessary for moving a successful upward mobility participant into the appropriate target position;

6.2.8 Inform OHR when the trainees successfully complete their TDP’s; and

6.2.9 Inform OHR if a trainee needs to be removed from the program because of the individual’s lack of progress toward meeting the TDP goals, or when other circumstances clearly indicate the employee will not complete the plan.

6.3 Director, Office of Civil Rights and Diversity (OCRD) monitors the activities of the UMP to assure that they are carried out fair and equitable.

## 7.0 GENERAL INFORMATION

- 7.1 Eligibility: To be eligible for consideration under the UMP, an employee must meet one of the following criteria:
- 7.1.1 In a permanent position which is classified at one-grade intervals, GS-8 and below, and hold a career or career-conditional appointment.
  - 7.1.2 Time-After-Competitive Appointment Restriction. Employees appointed to a competitive service position under the OPM recruitment system cannot be reassigned, promoted, changed to lower grade or transferred until 90 days have elapsed since the latest non-temporary competitive appointment.
  - 7.1.3 Under a Veteran's Readjustment Appointment (VRA). If selected, VRA employees will be reassigned to upward mobility trainee positions, and their initial VRA training agreements, if not entirely completed, may be terminated or amended at that time. They will remain on their VRA appointments, however, until they have completed two years of service. If performing satisfactorily at that time, VRA employees will be converted to the competitive service.
  - 7.1.4 Be a current employee serving under a Schedule A, Section 213.3102(u) appointment for severely handicapped individuals.
  - 7.1.5 Employees cannot be promoted into a UMP entry-level position. They can be moved into the position only through reassignment or change to lower grade. Pay retention will be granted to an employee whose rate of basic pay would otherwise be reduced as a result of placement in a UMP.
- 7.2 Vacancy Announcements:
- 7.2.1 UMP positions will be filled under EMCBC merit promotion procedures.
  - 7.2.2 Announcements will state "This is an upward mobility position with entry at either the GS-5 or GS-7 level, or promotion potential to GS-12" or whatever is the appropriate journeyman level for the series.
- 7.3 Selection:
- 7.3.1 An HR Specialist will review the applications for completeness and adherence to the eligibility requirements stated above;
  - 7.3.2 Applicants will be rated and ranked in accordance with the procedures set forth in the EMCBC Merit Promotion Plan. A numerical score (rank) will be assigned to each eligible applicant. The top ranked applicants will be referred to the selecting official;

- 7.3.3 After a selection is made, the selecting official will document the selection certificate, indicating selection with “S” and non-selection with “NS” next to the appropriate candidate. The selection certificate(s) is returned through the EMCBC, Office of Civil Rights & Diversity, as well as the Director of the serviced organization or program office, to the OHR. If the certificate is returned without action, the selecting official will document the reason for not making a selection;
  - 7.3.4 Selecting officials should maintain written personal records of the selection process for a minimum of 2 years after selection and may be required to produce them if a complaint or grievance is filed;
  - 7.3.5 The OHR staff will formally offer the position to the selectee, and ensure that the MOU and TDP are completed.
- 7.4 Establishment of the Individual Development Plan (IDP)
- 7.4.1 Once the selectee has accepted the UMP position, the supervisor will prepare a Memorandum of Understanding and send it to OHR for approval. Within seven working days after the trainee enters the position, a IDP will be prepared by the immediate supervisor and the trainee with the assistance of OHR. Depending on the education and experience which the trainee already has, the IDP may include all or part of the following:
  - 7.4.2 Formal Training – Trainees may participate in academic courses offered by local colleges, universities, training organizations or interagency facilities. Courses, relevant to the target position, may be taken during or after working hours at Government expense.
  - 7.4.3 On-the-Job Training – The trainee will be assigned responsible and productive work assignments under one or a number of work assignment supervisors. Whenever possible, the supervisors will be chosen because of their leadership and/or mentoring skills, demonstrated interest in developing employees, and/or their technical expertise.
  - 7.4.4 Self-Development – Trainees will be encouraged to participate in self-directed developmental activities. These may include reading materials related to the target career field, participating in professional societies, or attending personal development courses not directly related to the target position.
- 7.5 Length of Training
- 7.5.1 To complete the required qualifications, training time may be credited at the rate of one month of training for two months of experience.
  - 7.5.2 Time-in-grade requirements for the target-level position must be met in full.

- 7.5.3 Assignments must include no less than 50% training time in the target area or closely related functions. IDPs must specify the length and type of training needed to qualify for the target position.
- 7.5.4 A trainee may be in an upward mobility position for no more than three years.
- 7.6 Evaluation of the Trainee's Progress
  - 7.6.1 Evaluation by the supervisor.
    - 7.6.1.1 The supervisor will evaluate the trainee's progress at these intervals:
      - After the first 60 days of on-the-job training is completed;
      - Every 60 days thereafter during the first six months; and
      - Every 90 days after the first six months.
    - 7.6.1.2 The evaluations will be in writing and will assess progress of the trainee in terms of meeting the job element requirements and to review the training plan to determine the need for modification. These periodic evaluations do not replace performance appraisals required under the Departmental performance appraisal system procedures. The supervisor will also informally discuss learning progress and career goals with the trainee at the end of each work assignment
  - 7.6.2 Evaluation by the trainee. The trainee will make written evaluations of his/her own progress and developmental assignments and training at the same intervals required for the supervisor. A copy will be provided to the supervisor, and the originals will be forwarded to OHR.
- 7.7 Flexibility Provisions:
  - 7.7.1 Substantive changes to the IDP will be documented by a written amendment, prepared by the trainee's supervisor. The following changes do not need to be documented if they occur within the first six months the plan is in effect:
    - 7.7.1.1 Tailoring, within the total scope and overall objectives of the developmental program, the length and intensity of the subject matter to meet the individual needs of trainees.
    - 7.7.1.2 Adjusting elapsed training time to cover contingencies such as leave (sick and emergency annual), or the trainee's inability to grasp a portion of a developmental assignment.
    - 7.7.1.3 Altering the sequence of training to allow for the learning experience to be related to actual work situations as they arise during the developmental period when conditions or experience indicate the desirability of such changes.

7.7.1.4 Adding or modifying subject-matter material depending on technological changes, the needs of the Department, Departmental Elements, or the results of evaluating the trainee's progress.

7.8 Promotion to Intervening Grade-Levels Leading to the Target-Level Position. For plans which include intervening grades between entry-level position and the target-level position, the supervisor will determine when the trainee is ready for promotion to the intervening grade. Promotions are not automatic. The trainee must have met time-in-grade and qualification requirements for the grade to which s/he is to be promoted, completed the appropriate part of the TDP, demonstrated satisfactory performance in the current position, and be ready to assume higher graded work. The supervisor must submit a SF-52, Request for Personnel Action to the EMCBC, OHR to promote the trainee.

7.9 Completion of Training and Subsequent Placement in the Target-Level Position:

7.9.1 When all TDP, time-in-grade, and qualification requirements for the target-level position have been met, the supervisor will send an SF-52, Request for Personnel Action to the OHR to promote or reassign a trainee to the target-level position. The supervisor must attach a final (completed) copy of the TDP showing the dates when each section of the plan was completed.

7.9.2 If the supervisor determines that all requirements of the TDP have not been met, but there is a reasonable expectation that the trainee can successfully meet the planned objectives in six months or less, the supervisor may request an extension to the plan from the Assistant Director, OHR.

## 8.0 RECORDS MAINTENANCE

8.1 The following records will be maintained in the OHR training file for each UMP participant:

8.1.1 Memorandum of Understanding (original)

8.1.2 Copy of the TDP (to be replaced by original once program is completed)

8.1.3 Any plan updates or amendments (originals)

8.1.4 Approved training request and authorization forms for all formal training completed

8.1.5 Progress evaluations from the supervisor (originals)

8.1.6 Progress evaluations from the trainee (originals)

8.1.7 Final evaluation from the supervisor (original)

8.1.8 Original TDP showing the dates each section was completed by the trainee.

8.2 All other records related to the announcement of positions and selection of trainees will be maintained according to merit promotion procedures.

## 9.0 FORMS USED

9.1 Forms used shall be the latest revision unless otherwise specified.

9.1.1 PD-323-02-F1, U.S. Department of Energy Environmental Management Consolidated Business Center “Upward Mobility Program Memorandum of Understanding”

## 10.0 ATTACHMENTS

10.1 Attachment A- PD-323-02-F1, U.S. Department of Energy Environmental Management Consolidated Business Center “Upward Mobility Program Memorandum of Understanding”

**U.S. DEPARTMENT OF ENERGY  
ENVIRONMENTAL MANAGEMENT  
CONSOLIDATED BUSINESS CENTER  
UPWARD MOBILITY PROGRAM  
MEMORANDUM OF UNDERSTANDING**

To: (Name) (Organization)

This will confirm your acceptance of a GS-XXXX-XX, "Position Title" position which was established as an upward mobility position with a target level of GS-XXXX-XX.

Please understand that selection for this position does not guarantee you automatic promotion. Progression toward the target grade will be based upon your ability to develop proficiency in the duties and responsibilities of the position to which you are assigned, your capacity to acquire proficiency at the next level of difficulty and responsibility, and meet qualification requirements for promotion to the next higher grade.

The Individual Training plan will be developed by your supervisor and discussed with you. You will be required to complete the formal training as well as the self-development portion of the training plan.

Informal evaluations and feedback will be provided periodically. A formal evaluation will be conducted with you by your immediate supervisor and documented at least once each 6 month period, which can include the annual supervisor/employee review, to discuss your work performance and related training and development activities. During these meetings your supervisor will identify areas of concern regarding your progress and allow equal time for your consideration and/or comments.

The program is expected to end in one of the following ways:

- The employee successfully reaches target position,
- The employee's inability to satisfactorily attain the next planned grade level,
- Unforeseen organizational or functional changes which remove the need for, or change the target position, or
- The employee voluntarily requests to be removed from the program.

The success of the Upward Mobility Program will depend on direct and open communication at all times. A copy of this memorandum and the Individual Training Plan will be placed in your Official Personnel Folder and retained until you fulfill the commitment specified above.

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Supervisor

Date

I, (Name), have reviewed the contents of this memorandum and agree to the provisions set forth.

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Employee

Date

**EMCBC RECORD OF REVISION**

DOCUMENT – PD-323-02 Upward Mobility Program

If there are changes to the controlled document, the revision number increases by one. Indicate changes by one of the following:

- I Placing a vertical black line in the margin adjacent to sentence or paragraph that was revised.
- I Placing the words GENERAL REVISION at the beginning of the text.

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<b>Rev. No.</b>	<b>Description of Changes</b>	<b>Revision on Pages</b>	<b>Date</b>
0	New Document	All	6/14/11