



DEPARTMENT OF THE NAVY
BUREAU OF MEDICINE AND SURGERY
2300 E STREET NW
WASHINGTON DC 20372-5300

IN REPLY REFER TO
BUMEDINST 12410.3
BUMED-00CP
8 May 95

BUMED INSTRUCTION 12410.3

From: Chief, Bureau of Medicine and Surgery

Subj: UPWARD MOBILITY PROGRAM

Ref: (a) DoD Directive 1440.1 of 21 May 87 (NOTAL)
(b) SECNAVINST 12000.23 (NOTAL)
(c) SECNAVINST 12410.21 (NOTAL)
(d) OCPMINST 12720.1 (NOTAL)
(e) OCPMINST 12410.1 (NOTAL)
(f) NAVSOP-3090-15 (NOTAL)

Encl: (1) Upward Mobility Training Agreement
(2) Sample Individual Development Plan, NAVSO 12410/67
(Rev. 10-88)
(3) Approaches to Upward Mobility

1. Purpose. To establish policy and guidance to implement the Upward Mobility Program within the Naval Medical Department.

2. Applicability. Applies to both appropriated and nonappropriated fund employees in the BUMED headquarters and Medical Department activities. The provisions of this instruction apply to civilian supervisors, military supervisors of civilian personnel, and all civilian employees.

3. Background and Discussion

a. The upward mobility concept is intended to assist agencies in providing employees situated in limited career advancement positions the maximum opportunity to enhance their skills so they may perform at their highest potential and advance according to their abilities. The upward mobility concept is also intended to assist agencies in accomplishing affirmative action program objectives.

b. Reference (a) directs Department of Defense (DoD) agencies to develop procedures for implementing upward mobility programs designed to increase the representation of qualified minorities, women, and people with disabilities in middle and senior-level positions. References (b) through (e) establish the Department of the Navy (DON) policy instructions and guidance and provide assistance for developing an upward mobility program. Reference (f) provides grade-level definitions (WG-1 through WG-5) and is specifically designed to facilitate the classification of upward mobility jobs.



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4. Policy

a. BUMED policy is to provide career advancement opportunities for employees according to their potential and ability. BUMED is committed to ensuring that upward mobility opportunities are made available through systematic management efforts. The approaches and techniques detailed in enclosures (1), (2), and (3) shall be used to carry out the program. Managers and supervisors (military and civilian) shall use the Upward Mobility Program to recruit and select employees.

b. The BUMED Upward Mobility Program shall be administered and implemented in a manner that provides equal employment opportunity for all employees without regard to race, color, sex, age, national origin, religion, or disabilities.

c. BUMED headquarters and activities employing 100 or more civilian personnel, including nonappropriated fund employees, shall develop and implement a formal upward mobility program. Activities employing less than 100 United States citizen civilian personnel, including nonappropriated fund employees, shall establish an upward mobility program to the extent feasible.

5. Program Components. Per reference (b), BUMED upward mobility programs shall be established based on a plan of action which includes: Dedicated staff to administer the program and a budget plan, an analysis of the organization's hiring and progression patterns with emphasis on affirmative action profile, skills survey, recommendation of position management board regarding job restructuring, career counseling, and program evaluation. Enclosure (1) provides the means for carrying out the Upward Mobility Program. In addition, the program components below shall be emphasized:

a. Recruitment. The recruitment of applicants for upward mobility positions shall be limited to the activity initiating the position and local Medical Department activities. The Upward Mobility Program advertisement for positions must indicate specific rating and ranking factors that will be used to assess the applicants' potential.

b. Selection. The selection process provides an opportunity for the activity to gather information to effect the best decision. The selection instrument must accommodate a means to assess potential, provide interview questions soliciting demonstrated accomplishments, and document the results of individual interviews. A representative from the equal employment opportunity office must participate as a member of all rating and ranking panels. The representative shall be General Schedule (GS)-260 series. The selecting official must interview all candidates referred for consideration and use the same set of

interview questions for each. They shall document the candidate's responses as well as their own relevant comments. Documentation must be available for review, if requested, by BUMED, DON, and DoD inspection teams.

c. Training and Development - (Individual Development Plan (IDP)). Training is a significant element of the Upward Mobility Program. A well-developed training plan details training objectives, establishes completion dates, indicates sources and duration of the training, and designates measurable standards to determine accomplishments. Developmental opportunities complement the training plan and provide the supervisor the opportunity to establish long-range objectives which assist the trainee and aid in accomplishing the mission of the activity. The IDP is the recommended tool to ensure developmental opportunities are established for the duration of the training plan and for 1 year following program completion. Enclosure (2) is a sample IDP.

6. Minimum Requirements. All BUMED activities must meet the following minimum requirements:

a. Adapt and carry out the provisions of this instruction.

b. Develop and implement an Upward Mobility Program. Activities with 100 or more civilian employees must develop a formal program. Activities with 100 to 499 civilian employees must allocate at least one position annually, and those activities with 500 plus must allocate at least two positions annually. Activities with fewer than 100 civilian employees are not required to establish a formal Upward Mobility Program; however, they are required to provide career development opportunities for their employees. The approaches in enclosure (3) may be used to satisfy this requirement.

c. Ensure that the IDP concept is instituted for all employees in upward mobility and trainee positions at grades GS-9 and below and equivalent wage-grade (WG) positions. The IDP shall be a part of the annual performance appraisal review process.

d. Evaluate the annual performance of supervisors and managers (military and civilian) relative to their support for the Upward Mobility Program.

7. Responsibilities

a. Chief, BUMED. Issues policy instructions and guidance for the Upward Mobility Program. Provides leadership and direction to ensure full implementation of the program commandwide.

b. Heads of Medical Department Activities. Demonstrate the leadership and commitment necessary to gain the support and participation of supervisors, managers, and employees in carrying out the provisions of this instruction. Establish a mechanism, such as a position management team, to review positions for restructuring. Ensure that affirmative action objectives for the Upward Mobility Program are developed and accomplished. Allocate sufficient resources to ensure the successful implementation of the program.

c. Supervisors and Managers. Demonstrate support for the Upward Mobility Program. Participate in the development and implementation of the program. Use the Upward Mobility Program as a management technique for filling vacant positions. Provide employees guidance and assistance in accomplishing training and career development objectives to benefit the organization as well as the employee.

d. Command Deputy Equal Employment Opportunity Officer (CDEEOO). Administers the Upward Mobility Program which includes assisting managers in identifying potential billets. Acts as the command Upward Mobility Program coordinator. Develops commandwide affirmative action objectives for the Upward Mobility Program. Provides guidance and technical assistance to heads of activities. Monitors and evaluates program effectiveness.

e. Human Resources Office (HRO). Provides administrative support to the heads of activities in developing and implementing an effective Upward Mobility Program. Provides technical support in recruiting, selecting, training, counseling, and collecting data for the program. Maintains complete documentation for all positions filled under the Upward Mobility Program.

f. Report. Activities must include a report of program accomplishments, as appropriate, in the annual Affirmative Action Program Plan submissions to the Human Resources Office, BUMED Command Services Office, HRO-W (00M), Washington Navy Yard, 901 M Street SE, Building 200, Washington, DC 20374-5050.

8. Program Evaluation. Activities shall develop and implement internal evaluation systems that determine the effectiveness of the program. The evaluation program should focus on supervisory and managerial support, quality of training and counseling, trainee completion, and total employee participation.

9. Action. Heads of activities shall ensure compliance with the provisions of this instruction.

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10. Form. NAVSO 12410/67 (10-88), Individual Development Plan, S/N 0104-LF-004-5200, is available from the Navy Supply System and may be requisitioned per NAVSUP P-2002D.


D. F. HAGEN

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UPWARD MOBILITY TRAINING AGREEMENT

1. Purpose of the Training Agreement. To give employees in positions at or below the GS-9 grade level or equivalent, who lack the experience or education to qualify for advancement, a means of entering higher graded occupations through the accomplishment of on-the-job and formal training assignments.

2. Position Coverage. This agreement covers nonsupervisory trainee and target positions in the general schedule (GS) and Federal Wage System (FWS).

a. Trainee Positions. Positions established for the purpose of placing trainees while they undertake training assignments under this agreement. These positions shall be established at the same grade as, or next appropriate lower grade level to, the target position.

b. Target Positions. Positions in GS-4 through GS-9 to which employees are assigned upon satisfactory completion of their training, as prescribed by their IDP. Target positions are normally at the first rung of a career ladder.

3. Selection of Trainees. Trainees shall be selected under activity merit staffing procedures. The following DON employees are eligible to compete for upward mobility trainee positions, provided they are currently at a grade level at least equivalent to the trainee position but not above grade 9: Career or career conditional appointees in grades GS-1 through GS-9; appointees in equivalent FWS positions or other equivalent rates; veterans readjustment (VRA) appointees; and severely disabled employees appointed under schedule A, section 213.3102(u).

4. Evaluation of Candidates. Candidates will be evaluated based on their potential to perform in positions rather than their actual qualifications for the target positions. Candidates must have sufficient experience or education to meet the Office of Personnel Management (OPM) formal qualification requirements for the target position within a 24-month training period. The minimum educational requirements specified in the OPM X-118 Handbook qualifications standards for GS positions may not be waived by use of this agreement.

5. Assignment of Selectees

a. Trainee Positions. Selectees will be placed in trainee positions through reassignment, changed to a lower grade, or detailed from the same or higher grade. Employees serving a probationary period must not be detailed to trainee positions, but may be reassigned or changed to lower grade. Where reassignments to trainee positions from one pay system to another

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will not produce an exact match of hourly salaries, trainees may either be promoted or changed to a lower grade to place them at the rate closest to their former pay; change to a lower grade under this authority entitles employees to pay retention.

b. VRA Positions. VRA appointees shall be reassigned rather than detailed to trainee positions. Their VRA appointment training plans must be amended to incorporate the training under this agreement. They will remain on their VRA appointments until they are converted to the competitive service under 5 CFR 315.703(b).

c. Target Positions. Trainees who had been previously detailed from a higher-graded position will be reassigned, promoted, or changed to a lower grade to the target position upon successful completion of their training. OPM time-in-grade requirements as specified in FPM chapter 300.6 must be met before assignment to the target position. Under this agreement, only one promotion is authorized for trainees to reach the target position if it is above the GS-5 or WG-5 or equivalent level; two promotions are authorized if the target position is at or below the GS-5 or WG-5 or equivalent level.

6. Training Program. Selectees' training programs may be set up from a minimum of 6 months to a maximum of 24 months.

a. GS Target Positions. The difference between the experience and training that a selectee brings into the program and that required by the OPM X-118 Handbook for a GS target position, dictates the minimum length of training a selectee shall be required to complete. Selectees shall be credited with 2 months of OPM X-118 Handbook required experience for each month of training they successfully complete under the terms of this agreement.

b. WG Target Positions. Selectees with potential to acquire the knowledge, skills, and abilities (KSAs) of the WG target positions shall be required to successfully complete a minimum of 12 months of training. Trainees who possess some of the qualifying KSAs shall be required to complete a minimum of 6 months of training.

c. Training Plan. Supervisors must develop an IDP for trainees within 30 days of their assignment into an upward mobility position. The IDPs must ensure that at least 50 percent of the training period consists of on-the-job training in the functional area of the target position or in closely related areas. The IDP for VRA employees must be modified to reflect the Upward Mobility Program training.

7. Trainee Evaluation

a. Supervisors. Supervisors must prepare an evaluation report of a trainee's progress in the program no more than 60 days after the trainee's assignment to a trainee position, and quarterly thereafter. Supervisors must also prepare a final summary evaluation of the trainee's achievement and performance after the trainee completes the training program.

b. Trainees. Trainees may prepare a written evaluation of their participation in the program concurrent with the supervisor's evaluation.

8. Career Counseling. Supervisors must provide trainees with counseling throughout the training period, with assistance as necessary from the civilian personnel staff.

9. Training Program Flexibility. The training period may be extended to a maximum of 30 months, or shortened from the training period originally established, provided it is not less than 6 months in length and the OPM X-118 Handbook qualifications are met.

10. Noncompletion of the Training Program. Employees who entered the training program through a change to a lower grade and do not successfully complete their training may be repromoted up to their former grade as an exception to merit staffing procedures. Those who were reassigned into the training program and are unsuccessful in completing it, may be reassigned to another position for which they qualify without adverse action procedures. If a position to repromote or reassign an employee into his or her former position is not available, the employee must be placed in a lower-graded position or separated through adverse action procedures.

11. Documentation. The notation in block 37 of personnel action forms (SF 52 and SF 50) must read: DON Special Training Agreement of 25 August 1980, as renewed 23 August 1982. "Employees qualified for this trainee position only under approved training agreement; not eligible for other positions in this series until completion of prescribed training." For automated information system users this is Navy remark YEO.

12. Administration of the Agreement. DON personnel officers are responsible for administering this agreement in their respective organizations and organizations serviced.

S A M P L E

BUMEDINST 12410.3
8 May 95

INDIVIDUAL DEVELOPMENT PLAN <i>(Instructions on Reverse)</i>		1. EMPLOYEE'S NAME MARY DOE	2. SOCIAL SECURITY NUMBER 154-71-5102
<p>PRIVACY ACT STATEMENT</p> <p>General - This information is provided pursuant to Public Law 93 - 570 (Privacy Act of 1974). Authority - Government Employees Training Act of 1958 (U.S. Code, Title 5, sec. 4101 to 4118). Purpose and Uses - The information on this form is used in the administration of the Federal Training Program. The purpose of this form is to document the nomination of trainees and completion of training, and it serves as the principal repository of personal, fiscal and administrative information about trainees and the programs in which they participate. The form becomes a part of the permanent employment record of participants in training programs and is included in the Government's Personnel Data File. Effects of Nondisclosure - Personal information provided on this form is given on a voluntary basis. Failure to provide this information, however, may result in ineligibility for participation in training programs.</p>		3. CURRENT POSITION TITLE, SERIES AND GRADE OFFICE CLERK, GS-303-04	
4. ORGANIZATION BUREAU OF MEDICINE AND SURGERY		5. DEVELOPMENTAL EXPERIENCES NEEDED FOR (Check One) <input checked="" type="checkbox"/> a. MORE EFFECTIVE PERFORMANCE IN PRESENT OR FUTURE POSITION (S) <input type="checkbox"/> b. NO FURTHER CAREER DEVELOPMENT DESIRED / NEEDED AT PRESENT TIME	
6. DEVELOPMENTAL OBJECTIVES / GOALS a. SHORT RUN (Forthcoming Year) To improve skills in computer software programs which enhance one's ability to produce quality documents.		b. LONG RUN (Following Three Years) To qualify for a Medical Records Technician (GS-675-05) position.	
7. METHOD OF ACCOMPLISHMENT OF OBJECTIVES / GOALS		c. OTHER ACTIVITIES (Include scheduled dates and describe activities)	
a. DEVELOPMENTAL ASSIGNMENTS (Include scheduled dates and facilities) Attend advance training in WordPerfect.	b. FORMAL TRAINING (Include scheduled dates and facilities) Health care technician curriculums at community colleges.	Attend 1-day vendor's exhibit of computer innovations.	
8. REMARKS			
9. EMPLOYEE'S SIGNATURE (IDP concurred in by employee)		10. Supervisor's Signature (IDP concurred in by supervisor)	
Date		Date	

Supersedes NCPC 12410/1, which may not be used.

NAVSO 12410/67 (10-88) S/N 0104-LF-004-5200

INSTRUCTIONS FOR PREPARING INDIVIDUAL DEVELOPMENT PLAN

1. **EMPLOYEE'S NAME:** Enter your full name.
2. **SOCIAL SECURITY NUMBER:** Enter your social security number.
3. **CURRENT POSITION TITLE, SERIES AND GRADE:** Enter title of position, occupational series and grade; e.g., Director, Programs and Plans Division, GM - 301-13.
4. **ORGANIZATION:** Enter name of organization, office code and complete address.
5. **DEVELOPMENTAL EXPERIENCES NEEDED FOR:** Check appropriate block.
6. **DEVELOPMENTAL OBJECTIVES / GOALS:** Enter your career goals; specify position titles and grades. Short Run (forthcoming year) - Long Run (following three years).
7. **METHOD OF ACCOMPLISHMENT OF OBJECTIVES / GOALS:** Enter specific developmental objectives which are to be met by one or a combination of experiences or activities.
 - a. **DEVELOPMENTAL ASSIGNMENTS:** Include scheduled dates and facilities, e.g., three - month detail to Navy Comptroller Office (1 July through 30 September 1988).
 - b. **FORMAL TRAINING:** Include scheduled dates and facilities, e.g., two - week OPM Seminar on the Federal Budget Cycle (7 - 18 November 1988).
 - c. **OTHER ACTIVITIES:** Include scheduled dates and describe activities, e.g., supplemental readings including OMB issuances, Departmental Budget, and Budget of the United States (5 - 16 December 1988).
8. **REMARKS:** Use this space for miscellaneous information; add additional sheets if needed.
9. **EMPLOYEE'S SIGNATURE AND DATE:** Sign and date this form. Your signature indicates that you are concurring with this IDP.
10. **SUPERVISOR'S SIGNATURE AND DATE:** Sign and date this form. Your signature indicates that you are concurring with the employee's IDP.

APPROACHES TO UPWARD MOBILITY

The detailed procedures required by reference (b), as modified by the current training agreement, may be used for any of the approaches described below to be counted toward meeting upward mobility goals. These include restriction of the area of competition to DON employees and establishment of a formal developmental program to provide experience for entry into and movement in the career field. In all other cases, follow the procedures outlined in this enclosure, with the exception of substitution of accelerated training for experience.

1. OPM Approved Navy-wide Training Agreement. Enclosure (2) provides information about the training agreement.

2. Job Restructuring to Establish Bridge Positions. Job restructuring is used in connection with position management. This method involves setting up a different structure of positions to accomplish the work of the unit. To accomplish this, lower-level work is extracted from the "professional" (or full performance level) positions and used to establish "technician" or (subjourneyman) support positions at a lower grade level. This type of position is called a "bridge" position and is a continuing position as opposed to the "trainee" position using the training agreement. The experience gained in this position will "bridge" the gap between the lower-level positions and the entry-level positions in career fields offering greater growth potential. Experience gained in these positions is qualifying experience for entry into the higher-level career field. A technician position may be established with a career ladder in a one-grade interval series or may be a single position for movement between career fields. (Example: Establish a GS-5/6/7 position as a Budget Assistant, GS-561, which will provide qualifying experience for entry into Budget Analyst positions at the GS-5 or 7 levels). The approach may be used in conjunction with the training agreement or may be used alone as an upward mobility opportunity using normal merit promotion procedures requiring evaluation and selection based on meeting the OPM X-118 Handbook qualification requirements.

3. Entry-Level Positions. Positions targeted for the full performance level may be filled at the entry level of a career ladder with a formal developmental program having formal academic courses or on-the-job training which are designed to advance the employees to the full performance level. Use of this method normally precludes the necessity of having specialized experience in the career field. Some examples of this method include: (1) Filling first-year apprentice positions by reassignment or change to lower grade of employees in other occupations as opposed to filling journeyman level positions; (2) making use of the formal helper to intermediate journeyman training program; and (3) filling positions in the administrative or management field at

the GS-5/6/7 trainee level as opposed to the full performance level. Use of this method is considered upward mobility when the position is filled through merit promotion procedures limited to onboard DON employees and includes a formal developmental program targeted to a higher level.

4. Establishment of Target Positions at Various Grade Levels

a. Target positions may be established at various grade levels and occupations to assure adequate opportunities for all employees at or below GS-9 and equivalent wage positions to enable them to move into new occupations offering career progression. This method is particularly useful in reaching lower-grade GS employees in areas where the pay disparity between the WG pay systems makes it impossible to use the DON-wide training agreement to fill WG positions. An example of this method is to develop a trainee level targeted to a mechanic helper position. Reference (f) provides grade level definitions (WG-1 through WG-5) and is specifically designed to facilitate the classification of upward mobility jobs. The trainee positions are then filled through merit promotion procedures limiting the area of consideration to DON employees. The vacancy announcement must include a statement that the position is a "trainee" position which provides for advancement to the mechanic helper position with successful completion of the training.

b. Another example of this method is to determine the grade level of the employees toward whom the upward mobility announcement is to be directed and then establish target position grade levels accordingly. (Example: If the upward mobility effort is directed toward employees at the GS-5 level, the target position in a career field having promotion potential to GS-9 or above should be established at either the GS-5 or GS-7 level with the trainee position established at the GS-5 level. However, if the upward mobility effort is directed toward employees at the GS-4 level, the target positions should be established at the GS-5 level with the trainee position at the GS-4 level). Since there are normally several grades in a career ladder, by using this method the activity is free to choose the appropriate grade level to meet upward mobility objectives and to reach targeted employees.

5. Providing Training Opportunities. Training opportunities may be provided to employees without a specifically identified target position as long as there are existing needs for the skill in the work force and the selection for training is made under merit promotion procedures. An example of this type of opportunity is to provide typing and related training to mail and file clerks who lack qualifications for clerk-typist positions. Although this type of training will increase employees' opportunities for advancement, it may not be counted toward achieving upward mobility goals.