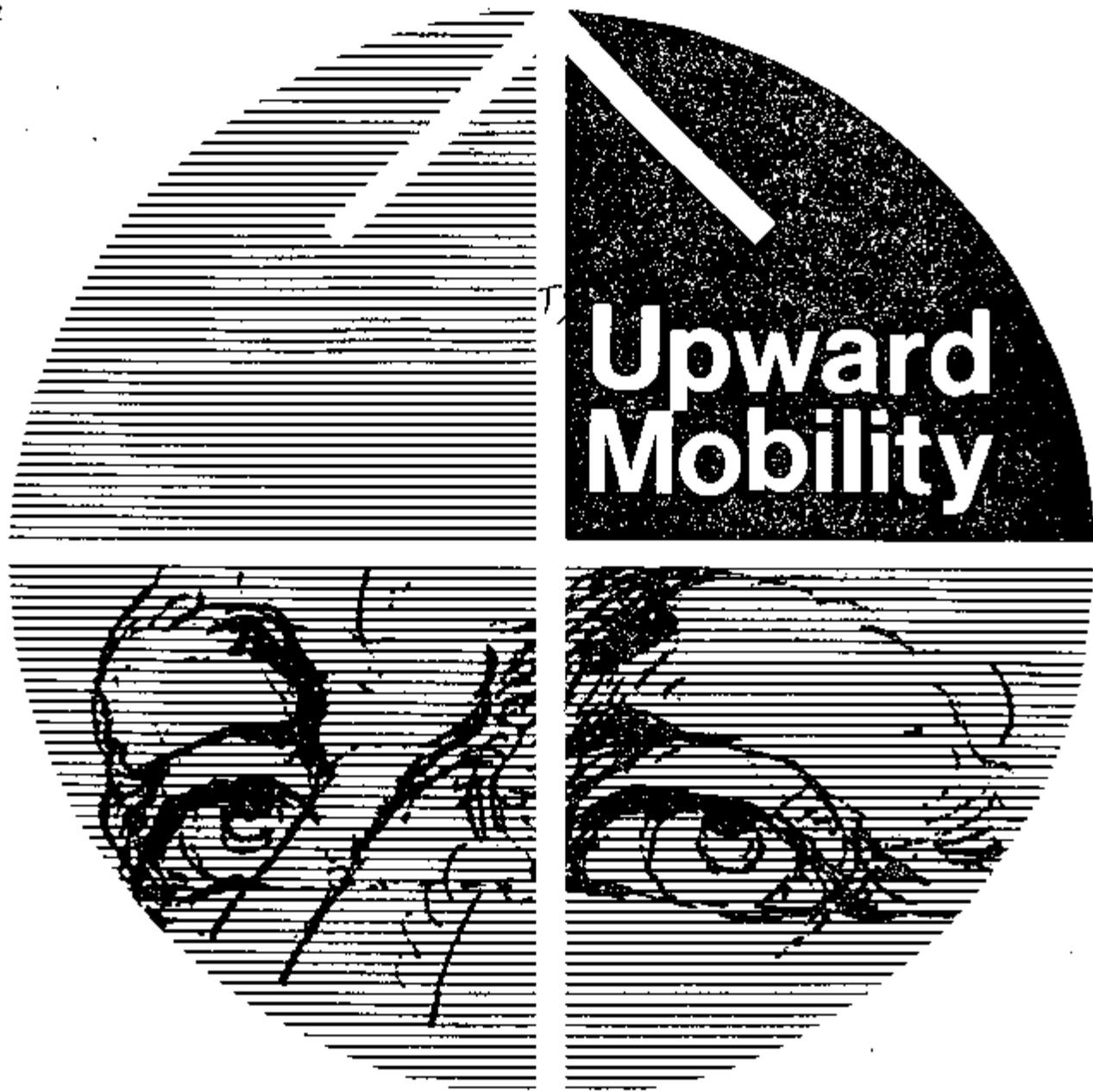


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**U.S. Securities and Exchange Commission**

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## INTRODUCTION

Executive Order 11478 and the Equal Employment Opportunity Act of 1972 required that agencies provide the maximum feasible opportunity to employees to enhance their skills so that they may perform at their highest potential and advance in accordance with their abilities.

The upward mobility program concept was developed in order to meet these requirements. Upward mobility is an integral part of the SEC's EEO Affirmative Action Plan and supports agency-wide EEO efforts by providing a systematic management effort to provide developmental opportunities to lower-level employees who are in positions which do not enable them to realize their full work potential.

The high turnover rate in many lower-grade jobs should be of concern to cost-conscious managers. Constant recruiting and training necessary to keep these jobs filled productively siphons off funds which could well be used for more productive purposes. Many of these employees have the potential for advancement but cannot do so because jobs offering promotion and career advancement potential are filled from outside at journeyman levels or at mid-points in career ladders; with no developmental opportunities available, these employees leave the SEC.

The purpose of the program is to facilitate upward mobility by providing intensive, accelerated development to equip employees with the skills and specific knowledges necessary to perform successfully in a target position. Selections for such assignments are to be made under the merit promotion program on the basis of potential, rather than formal qualifications. An individualized training plan is developed for each selectee. Promotion up to the target grade position depends upon successful completion of the training, both formal(classroom) and on-the-job.

An approach of this kind, if administered properly, is a sound, effective and economical management tool; it stresses basic abilities and skills and maximizes consideration of potential.

This upward mobility handbook is designed to provide assistance to SEC Divisions/Offices and Regional Administrators in the development of an Upward Mobility Plan. Suggested approaches through the planning and development, implementation and evaluation phases are provided along with sample guides to be used by supervisors in the selection and training processes.

## WHAT IS UPWARD MOBILITY?

### Upward Mobility and the Equal Employment Opportunity Act

Affirmative Action plans should provide for "the establishment of training and education programs designed to provide the maximum opportunity for employees to advance so as to perform at their highest potential."

### Civil Service Commission and Upward Mobility

The Civil Service Commission states that "Upward mobility is the systematic management effort that focuses Federal personnel policy and practice on the development and implementation of specific career opportunities for lower-level employees who are in positions or occupational series which do not enable them to realize their full work potential." Such an effort requires that an agency provide for identification of vacancies and establishment of target positions, application of merit procedures for selection of employees, development and delivery of counseling services, involvement of supervisors in program planning and implementation, design and delivery of required training, and development of evaluation and reporting procedures.

### Upward Mobility

Upward mobility as defined in the EEO Act and by the CSC concentrates effort on the movement of people from lower level positions with limited career potential to positions with recognized career ladders. It entails positive management action which goes beyond normal staff improvement practices to provide opportunities for employees to develop and advance both within job families and across occupational lines. It eliminates those conditions which have in the past tended to prevent or restrict movement of employees to positions with recognized growth potential.

Upward mobility within the SEC encompasses those actions taken by management to provide intensive, accelerated development opportunities to equip lower-level employees with the skills and specific knowledges necessary to perform in a targeted position. Such a position will be in a career field affording greater growth potential than the position currently held and selections for such assignments will be made under merit promotion procedures and on the basis of potential rather than proven qualifications and will incorporate a formalized training plan.

Within the above context, upward mobility occurs when an employee moves from a clerical to a technician or professional position offering greater growth potential, or from a technician to a professional job with an established career ladder. Other examples include affording typing and related training to a mail clerk who has been selected for a target job requiring typing or providing required training for a typist to qualify for a targeted stenographic position.

The key to making the judgement as to whether a change or developmental assignment is in fact upward mobility and can be credited as such is whether the change is to a different career field (though not necessarily job family), whether the new field has a career ladder offering better opportunity for growth and whether the selection was on the basis of potential rather than proven performance.

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## HOW TO DEVELOP AND IMPLEMENT AN UPWARD MOBILITY PROGRAM

### Phase I - Planning

Careful planning is necessary to ensure a results-oriented program which can be productive for both management and employees.

a. The first step in the planning process is to ensure appropriate management support. As a system, upward mobility is made possible only through the involvement of all levels of the organization's management through a team effort. The commitment and support of the following individuals are particularly important:

Managers/Supervisors--the support of those who will be selecting, training and working with the employees in an upward mobility program is particularly important. The development of employees is an inherent responsibility of management; the development of an individual who is oriented to the Commission and to its mission, who has demonstrated a high potential for growth, and has established an acceptable, known work and leave record is a vital part of this responsibility.

Personnel Staff--they will assist managers and supervisors in identifying positions which will best offer upward mobility opportunities, assist in the selection and in the development of employees for these positions.

Training Officer--will provide initial and ongoing career counseling for employees.

Comptroller's Office--will assist in the allocation of personnel slots and of funds to support upward mobility positions and programs.

Employee representatives--participate in planning phase to assist in promoting an understanding of program goals and scope.

b. Having obtained appropriate support, and commitment for an upward mobility effort, the next step in the planning process is to outline the parameters of the program in consideration of the following factors:

(1) Through a review of employee turnover and impact of program requirements, identify the kinds and numbers of anticipated position vacancies and estimate when they will need to be filled.

(2) Assess the present skills of the work force, with emphasis on identifying those employees in dead-end positions or in positions with limited advancement potential.

(3) Review the hiring patterns within the activity to determine those positions which are characteristically filled from within the activity and those which are filled primarily from outside recruitment sources.

(4) Determine which current and projected position vacancies are the most appropriate for upward mobility assignments--i.e., those occupational areas and grades/levels for which outside recruitment is generally conducted and/or for which manpower shortages may exist.

(5) Examine the tools and methods which may be used to make these opportunities available to employees, considering such flexibilities as the following:

Job restructuring--sometimes called job engineering or job design, is the rearrangement of the way work gets done in an organization. No matter how labeled, it means setting up a different pattern of positions in which essentially the same amount of work gets done. How the restructuring is done and how the pattern of the new work arrangement varies, depends on the goal to be achieved.

Use of bridge positions--consider the establishment of positions which will "bridge" the gap between a lower-level position and the first rung of an established career ladder (i.e., clerk to technician) or "bridge" the gap between a career ladder with lesser growth to one with greater growth potential (i.e., technician to managerial or professional position). The task statements will provide the basis for developing the job descriptions of bridge positions. The duties in the bridge position will provide grade-building experiences to qualify an individual for the next rung of the ladder.

Redistribution of the tasks of a professional--consider using the task analysis technique to pinpoint semi-professional or technical tasks which the professional is required to perform. If there are enough of these duties, they can be combined to create one or more para-professional jobs. This technique may be used separately or in conjunction with the establishment of a "bridge" position to permit further career progression from the para-professional position to the professional career ladder position.

Phase II - Program Development and Implementation

a. Identification and establishment of target and trainee positions.

Based on information gathered through the planning phase relative to manpower needs, assessment of employees' skills and the activity's hiring patterns, it is possible to identify those positions/vacancies which are appropriate for upward mobility assignments--i.e., those duties which the employee will be trained to perform. These are designated as the target positions. Generally, employees are assigned to the first rung of the career ladder leading to the target position (such as GS-5 Investigator or Securities Compliance Examiner). If the target (as is the case with one- or few-of-a-kind jobs), the employee will initially be assigned at a lower trainee or entry level grade. Emphasis should be given to establishing target positions in occupations and levels for which it has been difficult to find highly qualified personnel; for which there is an adequate supply of entry-level candidates currently in the Commission; or to stimulate and motivate the career development of internal staff.

b. Developing selection criteria. Selection for upward mobility assignments should be made on the basis of employee interest in a career field or occupation, likelihood of success in the training for the target job, as well as demonstrated work habits and attitudes from the current job. In order to establish the selection criteria, it is first necessary to identify the major tasks to be performed in the target position. These can be identified by the personnel staff and supervisory and journeymen personnel having a detailed knowledge of the job. These tasks may then be translated into behavioral objective terms as to what the individual should be able to do in the position or what knowledges he/she should have and how these knowledges will be applied in the work situation.

c. Tools for assessing employee potential. Potential is defined as the ability (including desire) to acquire and use skills and knowledges needed to successfully perform higher level work. Proper assessment of employee potential is the key to the success of an upward mobility effort. Employee potential may be measured by such tools as the following:

Performance appraisals which show transferability of related knowledges, skills and abilities to the target position.

Interviews to determine likelihood of success in meeting target job requirements.

Review and analysis of employees background for clues to motivation, initiative (i.e., membership in organizations, educational activities, community activities, etc.)

d. Establishing appropriate training requirements and outlining a training plan. In developing training plans in support of upward mobility programs, offices must ensure that any training is related to the performance of official duties in a position commensurate with the employee's potential. The length of training may range from six months to several years depending upon the time required to equip the employee with the skills and specific knowledges necessary in the target position and his/her ability to perform the required duties satisfactorily. Although the development of an individualized plan should be deferred until the final selection is made, training requirements should be identified at the initial stages and the parameters of the plan established. (Enclosure No. 1)

An individualized training plan incorporating formal instruction supplemented by on-the-job training and self-development efforts on the part of the employee should ultimately be devised. The only restriction on training for upward mobility are the prohibition on training for an academic degree in order to qualify for a position for which the degree is a basic requirement and the prohibition on training an employee in a non-Government facility for the purpose of filling a position by promotion for which there are other fully qualified available internal candidates.

e. Announcing upward mobility opportunities. Upward mobility assignments must be announced under the SEC Merit Promotion Program. Competition is limited to employees on non-temporary positions and with competitive status. In addition, employees must at the time of selection meet any positive educational requirements which are specifically required by the X-118 standard for the series and grade of the target position. At the time of ultimate promotion, the employee must be able to meet any required time-in-grade restrictions of the Whitten Amendment which may apply. The fact that the employee also meets the formal X-118 qualification standard for the target position does not preclude competition for an upward mobility assignment. However, such candidates will compete on the basis of potential rather than proven qualifications.

The vacancy announcement should clearly identify the position as an upward mobility opportunity. It should state the title, series and grade of the entry (trainee) position and the grade of the target position. It should cover the duties of the target position; specify the eligibility requirements and selection criteria; and indicate how and where to apply, including what forms will be used in the application process. A sample announcement is shown as Enclosure No. 2.

Employees will generally be selected for reassignment or promotion to the appropriate trainee position. In those situations where an employee holding a position above the trainee level is selected, a change to lower grade will be effected with an appropriate adjustment in the employee's salary wherever possible.

As the required training is completed, the employee may be promoted progressively to the target position without further competition. Upon promotion to the target job, the employee is considered to have met a valid standard for assignment at this level. In determining eligibility for subsequent promotions, the employee's total background need not be evaluated again but the individual must show only that he/she has acquired the additional qualifications necessary for the new position. For example, if an employee is promoted to the target position of budget analyst, GS-12, under an upward mobility program, he/she would be eligible for promotion to GS-13 after having served one year at the GS-12 level.

f. Counseling services. Counseling services will be provided by the Personnel Office Staff, including the Training Officer.

#### Phase III - Evaluation of the Upward Mobility Effort

In order to determine if upward mobility programs are satisfactorily achieving their objective, it is necessary that program progress and results be properly evaluated. In the evaluation process the Office of Personnel will be considering the following:

- a. To what extent were employees in positions with limited career possibilities systematically identified and channeled into short- and long-range career development plans? To what extent were developmental opportunities made available to these employees?
- b. What is the rate of movement of employees in jobs with limited potential into those with better career ladders?
- c. Periodic evaluations, counseling, getting training needed, etc.
- d. How many employees have been selected for upward mobility assignments? What percentage of these were in dead-in jobs?
- e. How many have satisfactorily completed such assignments? How many of these have moved to levels beyond their target position either under normal career progression or merit promotion selections?
- f. How many or what percentage have been dropped from the program and what were the reasons for their lack of success?
- g. Is the training being provided adequate and appropriate to the target position? Are sufficient counseling services being provided?
- h. What percentage of those selected for upward mobility assignments are members of minority groups (or females)? How does this percentage relate to the proportion of minorities (and women) in dead-end positions within the activity?

Statistical data, questionnaires and interviews with a cross-section of employees affected by the program, supervisors and counselors will be used in the evaluation process.

## UPWARD MOBILITY REFERENCES

|   |  |                   |
|---|--|-------------------|
| Executive Order 11348   | Providing for the Further Training of Government Employees   | December 24, 1968 |
| Executive Order 11478   | Equal Employment Opportunity in the Federal Government       | August 8, 1969    |
| Public Law 92-261   | Equal Employment Opportunity Act of 1972                     | March 24, 1972    |
| FPM 271 Subchapter 7  | Training Agreements (also Appendix A)                        |                   |
| FPM Supplement 271-2  | Tests and Other Applicant Appraisal Procedures               |                   |
| FPM 332 Appendix M  | Guide to Short-Range Manpower Planning                       |                   |
| FPM and Adm. Manual Vol. II Chapters 335                                | Merit Promotion  |                   |
| FPM Supplement 335  | Evaluation of Employees for Promotion and Internal Placement |                   |
| FPM and 410   | Training   |                   |
| CSC Bulletin 410-83   | Training in Support of Upward Mobility Programs              | June 1974         |
| FPM Chapters 713 and SEC Manual of Administrative Regulations (Vol. II) | Equal Employment Opportunity                                 |                   |
| FPM Letter 713-22   | Equal Employment Opportunity Plans                           | October 4, 1973   |
| FPM Letter 713-27   | Upward Mobility for Lower Level Employees                    | June 28, 1974     |

## UPWARD MOBILITY REFERENCES

CSC Pamphlets

(Available from Superintendent of Documents, U.S. Government  
Printing Office, Washington, D.C. 20402)

- |                                    |   |
|------------------------------------|---|
| Personnel Management Series No. 19 | "How to Make the Most of the Merit System"                                      |
| Personnel Management Series No. 24 | "Guidelines for Agency Internal Evaluation of EEO Programs"                     |
| Personnel Management Series No. 25 | "Guidelines for Federal Women's Program Coordinators"                           |
| Personnel Management Series No. 26 | "Upward Mobility Through Job Restructuring"                                     |
| FEO-1                              | "Expanding Opportunities - Women in the Federal Government"                     |
| PS 14 June 1968                    | "Matching Person to Job - The Job Element Method...What it is and How it Works" |

USE OF ENCLOSURES NO. 1 - 3

The enclosed samples will serve as guides to use in announcing an upward mobility promotion opportunity and in preparing the training plan and agreement for the employee selected.

SAMPLE

SECURITIES AND EXCHANGE COMMISSION  
TRAINING PLAN

Target Position

Trainee Position (Entry Position):

Length of Training:

A. On-the-job training and work experiences

B. Formal (classroom) training

Performance expected upon completion of training:

Method of Evaluation:

Enclosure No. 1

# VACANCY ANNOUNCEMENT



UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
WASHINGTON, D. C. 20549

ANNOUNCEMENT NO.  
MERIT PROMOTION PLAN B

SAMPLE

OPENING DATE:  
CLOSING DATE:

POSITION: Budget Analyst GS-560-7  
(This position has growth potential to GS-12)

LOCATION: Office of the Comptroller

SUPERVISOR: Frank J. Donaty  
Comptroller

AREA OF CONSIDERATION: Headquarters and Washington Regional Office

DESCRIPTION OF DUTIES: Incumbent assists in the performance of a variety of procedural and technical duties in the formulation and execution phases of budget administration. Maintains position control register for each organization, which data is utilized in preparing monthly internal financial reports, including cost projections. Also assists in the formulation of annual and supplemental budget estimates. Performs other related technical duties.

QUALIFICATIONS: Applicants must have three years of general experience from which they gained a general knowledge of management principles and practices. Experience in specialized fields which are closely related to budget examining, or excess specialized experience will be accepted as general experience. In addition applicants must have had one year of specialized experience which must have included the development, evaluation, or revision of budgetary control systems, budget preparation and presentation or similar duties. At least six months of the experience must have been equivalent to the GS-6 level or equivalent.

Successfully completed study in a resident institution above the high school level may be substituted for general experience at the rate of 1 year of education for 9 months of experience up to a maximum of 4 years of education for 3 years of general experience. Graduate education may be substituted for all or some of the specialized experience. Handbook X-118 will be applied for any substitutions -- experience or education.

SPECIAL REQUIREMENTS: Applicants must have a working knowledge of regulations and instructions of the Office of Management and Budget, Treasury Department and other control agencies. The incumbent must have knowledge of the Commission's accounting system. Sound judgment and initiative in interpreting, analyzing and recommending solutions to problems are needed. Incumbent must be able to work under pressure and consistently meet deadlines; must be able to work overtime when necessary.

ADDITIONAL INFORMATION: Methods used to evaluate the qualifications of candidates may be found in Section VII of Merit Promotion Plan B. Section for this position will be made without discrimination for any non-merit reason such as race, color, religion, sex, national origin, politics, age, physical handicap, marital status, or membership in an employee organization. Candidates who are GS-7's will be considered for reassignment. Interested applicants should apply by filing Form SEC-385 with the Office of Personnel by

## SAMPLE

## TRAINING AGREEMENT

TO:

FROM: Director of Personnel

SUBJECT: Training Agreement for \_\_\_\_\_ (position)

I hereby offer you the position of \_\_\_\_\_ (Title) in the \_\_\_\_\_ (Division/Office). This offer is made under the SEC's Upward Mobility Program and is conditioned upon your acceptance of the conditions listed below:

1. You agree to pursue the course of training outlined in this agreement and to accept modifications in your training when, through consultation with your supervisor and other counselors, they are determined to be necessary to meet the objectives for your career development.
2. The Division/Office agrees to provide all the on-the-job training you will require, and to keep you advised of your progress in learning to perform the duties of the target position for which you are being trained.
3. You agree to enter the program as a (position title) at the GS- \_\_\_\_\_ level, and to strive to complete the required education and/or training with a period of \_\_\_\_\_ from the date of the signing of this agreement. The Commission may extend this period in appropriate circumstances at its discretion.
4. Your duties as a (position title) will include:  
(summarize)
5. You agree to devote the necessary time and effort to acquire the following skills and abilities: (list)
6. You agree to complete the following educational and training requirements (substitutions may be made where necessary and/or advisable: (list)

Enclosure No. 3

- 7. The Training Officer agrees to assume the costs of all approved outside training (including tuition, books and fees), and to periodically review your training plan to insure that it is meeting its objectives.
- 8. You agree that your continuation in your position will depend on your demonstrating the ability to perform satisfactorily. Key factors in the determination of the required ability will be the ratings you receive from your supervisors in performance evaluations which will be completed     (when)     and discussed with you.
- 9. You will be eligible for promotion to GS-      after      months, provided your performance on the job has been satisfactory, that you have demonstrated the required potential to perform on the higher level, and you have completed the required educational and training courses. Budget permitting, you will be promoted at that time.
- 10. All parties agree that this Training Agreement may be terminated by any of the following:
  - (a) Mutual consent
  - (b) Your satisfactory completion of all requirements
  - (c) Your unsatisfactory performance
  - (d) Your resignation
- 11. The SEC promises that you will incur no loss of grade or status as a result of your failure to complete the training program.

The undersigned hereby agree to undertake the obligations outlined above.

\_\_\_\_\_  
Date

\_\_\_\_\_  
Director of Personnel

\_\_\_\_\_  
Date

\_\_\_\_\_  
Trainee

\_\_\_\_\_  
Date

\_\_\_\_\_  
Division/Office Director

\_\_\_\_\_  
Date

\_\_\_\_\_  
Supervisor