

PDP Policy #2

LABORATORY PERSONNEL MANAGEMENT DEMONSTRATION PROJECT

FACTOR IV PROCESS (RESEARCH)

PURPOSE AND SCOPE

To establish policy guidance for the classification of research positions, using the Research Grade Evaluation Guide, dated September 2006, and to outline the scope and responsibility of panels in the evaluation process. The material outlined in this policy applies to all research positions in Payband III and above, located in all Demo elements of USAMRMC. The Factor IV Process outlined in this policy will be applied to positions recommended for promotion from payband DB-II to DB-III, and to those positions recommended for promotion from payband DB-III to DB-IV.

DEFINITIONS

1. Research: A systematic, critical, intensive investigation directed toward discovering, disseminating, and applying new or expanded knowledge in a professional discipline.
2. Research Responsibility: Professionals engaged in research work have one or both of the following responsibilities: (a) Personally performing professionally responsible research for a substantial portion of time OR (b) Directly and personally leading and participating in the activities of a research team and/or organizational unit (when the primary basis of selection for the position is competence and capability in performing professionally responsible research rather than capability in supervising and managing a research organization).

GENERAL

1. Since many positions in USAMRMC meet the definition of research positions outlined above, the evaluation plan outlined in this policy has been developed. The plan is implemented by use of a panel process.

2. Before the panel procedure is outlined, background in several civilian personnel concepts is presented so that professional/ supervisor/panel and personnel responsibilities will be clear.

3. The basic concept underlying the evaluation of research positions is called the "person-in-the-job" concept. The "person-in-the-job" concept is present when there is a strong, identifiable and unique relationship between the job assignment and the individual qualities of the incumbent of that job.

4. Creativity and originality are of central importance in a research situation with the extent to which these qualities are actually brought into play and are dependent on the incumbent; the research situation is typically expandable in breadth in accordance with the incumbent's capabilities. It is, therefore, recognized that, where the nature of the job situation involves a high potential for original and creative work, the position may be performed at any one of several levels depending upon the level at which the incumbent is capable of working. This leads to the application of the "person-in-the-job" concept which is based upon the interrelationship between the assignment and the incumbent. Recognition of these ideas and concepts has led to the development of the Research Grade Evaluation Guide. This guide is developed around the concept of the person-in-the-job and is the primary reference used to evaluate many positions in the USAMRMC. The guide has four factors. They are:

I. Research Assignment

II. Supervisory Controls

III. Guidelines and Originality

IV. Contributions, Impact, and Stature

5. The first three factors are incorporated into the pre-classified Demo Benchmark Job Descriptions and do not require further classification via the panel process. Benchmark job descriptions in payband DB-III are predetermined to meet the threshold of Degree C, and Benchmark job descriptions in payband DB-IV are predetermined to meet the threshold of Degree E for Factors I, II, and III.

6. The final factor, Factor IV, is the one thoroughly weighed and evaluated by the various panel members. When evaluating Factor IV, the Panel members each make individual judgments as to the worth and merit of the employees' individual contributions and achievements. Each member votes and the average numerical figure is added to the predetermined benchmark assessments for Factors I, II, and III. The total number converts to a payband level as outlined in Appendix C, and becomes the final payband of the position.

7. Since Factor IV data play such an important part in the evaluation process, it is clear that the currency, accuracy, and completeness of the scientists' Factor IV data are vitally important to assure that the proper payband is placed on the job.

8. When using the Research Grade Evaluation Guide for evaluating payband level of USAMRMC Demo positions, replace the term "grade" with "payband;" use the Payband Determination Chart shown in Appendix C in place of the Research Grade Evaluation Guide Grade Conversion Table, dated September 2006.

RESPONSIBILITIES

1. Activity Commanders/Directors will:

- a. Promote an appreciation and understanding of the importance of the individual's contributions and qualifications to the evaluation and promotion process.
- b. Receive panel recommendations and make final determinations as to payband placement.

2. Supervisors will:

- a. Submit nominations through the Chain of Command for promotion, based upon direct knowledge of employee's achievements and accomplishments.
- b. Coordinate all administrative aspects of promotion actions within the activity.
- c. Select appropriate benchmark position description and ensure duties performed by employee are compatible with the level of the pre-classified benchmark position selected.

d. Complete the job description coversheet, to include assigning appropriate specialty codes.

e. Complete Appendix A, Part II, Supervisor's Executive Summary on nominated employees.

3. Research Panels will:

a. Determine if the work outlined in the benchmark job description under review is the type of work appropriately considered by the panel.

b. Review and draw conclusions concerning Factor IV data, which includes the qualifications and contributions of personnel in concerned positions.

c. Employ open panel discussions and, as desired, interview and/or obtain verbal presentations by the immediate supervisor.

d. Recommend to the activity Commander/Director, the conclusions of the Factor IV Panel.

e. Treat the results of the deliberations with the utmost confidence and refrain from any unofficial discussion of the proceedings.

4. Civilian Personnel Advisory Center (CPAC)/Civilian Personnel Operations Center (CPOC) will:

a. Advise and assist panel members and supervisors in the discharge of their responsibilities under this plan, as requested.

b. Provide panel representation, if desired.

c. Process approved promotion requests.

5. Employee will prepare an Employee Fact Sheet (see Appendix A) in conjunction with supervisor and provide information on their job assignments as required.

COMPOSITION OF PANELS

1. The Commander/Director of the activity involved will establish ad hoc panels to provide for the review and evaluation of the qualifications and contributions of researchers recommended for promotion to payband level III or above.
2. The panel will consist of at least three professional members possessing a diversity of scientific disciplines, and reflecting the diversity of the workforce. A non-voting representative from the CPAC/CPOC will be provided as requested. The professional members designated by the activity need a good professional knowledge of the nature of work performed and be of equal to or higher payband than that of the position being evaluated. The immediate supervisor will not be selected to serve as a panel member evaluating a subordinate.

PROCEDURES

1. General:
 - a. Nominations for promotions concerning this plan will be initiated by the supervisor. A prepared Employee Fact Sheet will accompany the nomination. The format and instructions prescribed in Appendices A and B will be followed in the preparation of the Employee Fact Sheet.
 - b. Following the conclusion of the panel meeting, and upon Commander/Director approval of promotion, the following documentation will accompany the Request for Personnel Action for Promotion to the Civilian Personnel Advisory Center: Demo Benchmark job description and the summary of panel determinations on Factor IV.
 - c. A summary of panel determinations will be attached to a copy of the job description. Supervisors should retain a file copy of the panel determination, the job description, and the Employee Fact Sheet.

2. Special Procedures for Vacant Positions: In using the person-in-the-job concept, a vacant position will be classified on the basis of the pre-determined benchmark and a projected score for Factor IV.

3. Panel Procedures:

a. Meetings: Panels will meet as frequently as necessary to avoid unusual delay in processing personnel action requests.

b. Presentation of Review Requests to Panel Members: The Chairperson of The Factor IV Panel will forward copies of all documentation pertinent in each case to panel members. Each panel member who receives a case folder will review the material prior to the meeting so as to be conversant with the material in the requests and be immediately capable of participating in the panel's discussion and consideration of the matter.

c. Conduct of Meetings:

(1) In order for the Panel to conduct business, three members must be present, one of which must be the Chairperson.

(2) The Chairperson will provide an overview of the responsibilities of the panel.

(3) After discussion of the case, the Chairperson will call for the decisions of each member who records his/her vote on Factor IV in the case folder.

(4) After deliberations are complete and votes have been recorded, the panel will prepare a memorandum to the activity Commander/Director, signed by the Chairperson, stating the results of the panel review and the summary of the panel recommendations on Factor IV for each employee nominated to the panel for review.

(5) Panel recommendations will be reviewed by the activity Commander/Director for final decision as to payband placement.

d. Records: Conclusions and basis of decision of each panel member will be recorded and filed with the Employee Fact Sheet in the activity, and will be treated as privileged

information, but will be available to the incumbent or immediate supervisor for review.

4. Any questions pertaining to these procedures should be addressed to the Civilian Personnel Officer.

REFERENCE

1. Research Grade-Evaluation Guide, dated September 2006.

CAROL E. DICK

Civilian Personnel Officer

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1. Appendix A
2. Appendix B
3. Appendix C

APPENDIX A

USAMRMC STANDARD FACTOR IV FORMAT

EMPLOYEE FACT SHEET

NOTE: The information called for in the following Factor IV employee fact sheet is necessary for purposes of evaluation of the incumbent's contributions and achievements in the scientific and/or research field. Failure to provide requested information will jeopardize the incumbent's promotion potential. By providing requested data, the employee or candidate agrees to the use of such data by officials and representatives charged with evaluation authority and responsibility. (This statement is provided in compliance with various provisions of the Privacy Act of 1975).

PART I - Prepared by the employee and reviewed and authenticated by the supervisor.

1. **INCUMBENT'S NAME**
2. **DATE OF PREPARATION**
3. **TITLE, SERIES, and CURRENT PAYBAND**
4. **ORGANIZATION**
5. **JOB DESCRIPTION NUMBER**
6. **QUALIFICATIONS**
 - a. **Education**
 - (1) **Academic**
 - (2) **In-Service Training**
 - b. **Experience**
7. **CONTRIBUTIONS AND ACHIEVEMENTS**

a. **General**

b. **Publications**

(1) **Government Publications**

(2) **Open Literature Publications**

(3) **Other Publications**

c. **Patents, Inventions, and Techniques**

8. RECOGNITION AND PROFESSIONAL STATURE

a. **Presentations To/Apearances Before Professional Groups**

(1) **Government Groups**

(a) **Interlaboratory (colloquia, seminars)**

(b) **Major Command/Agency/Interagency (briefings, presentations)**

(c) **International**

(2) **Professional Societies, Associations, and Universities**

b. **Membership on Technical Panels and Committees**

c. **Consultative Assistance to others**

d. **Known Favorable Reviews and/or Citations of Work**

e. **Professional Society Membership**

f. **Awards and Other Honors**

PART II - Supervisor's Executive Summary (Prepared by Immediate Supervisor)

DEMONSTRATED ABILITIES AND IMPACT OF INCUMBENT'S TECHNICAL ACHIEVEMENTS AND SCIENTIFIC CONTRIBUTIONS IN RELATION TO THE ORGANIZATION.

1. Discuss demonstrated capacity and impact of scientific accomplishment of the employee evidenced by performing in a specified area of considerable scope and complexity, such as those which involve a series of complete and conceptually related studies.

2. Discuss evidence of employee's technical attainment and leadership in areas of significant importance or ability to solve problems which are exceptionally difficult and unyielding.

3. Discuss ability of the employee to stimulate colleagues or subordinates in the performance of assigned work, including the pursuit of further studies or application of the work.

APPENDIX B

EXPLANATION AND GUIDANCE FOR COMPLETION OF

EMPLOYEE FACT SHEET FOR FACTOR IV PANEL CONSIDERATION

1. BACKGROUND AND PERSPECTIVE:

a. The decision to promote is not made by a single individual but rather is arrived at by a panel of senior scientists and personnel specialists. The decision is based upon input provided by both the candidate and his or her supervisor. The candidate provides his or her input via the fact sheet; the supervisor provides his or her input via the job description and the supervisor's assessment in the fact sheet. It is the sum total of this information that the panel weighs to arrive at its decision to promote or not promote.

b. The fact sheet consists of two parts. Part I is prepared by the individual employee seeking consideration for promotion and is authenticated by the employee's supervisor. Part I contains eight items covering basic information, narrative, documentation and substantiation, and Part II is the supervisor's assessment of the employee's proven abilities, contributions and impact.

(1) The basic information includes data such as the candidate's name, education, and job experience. Most of this is self explanatory, however, the description of job experience should be brief and list only the major responsibilities of an individual. The narrative included in Part I, Section 7 is the candidate's opportunity to describe his or her accomplishments and explain the significance and impact. This is the section in which the candidate makes the case for promotion.

(2) The list of presentations, patents, and archival publications and other documentation should substantiate the claims made by the candidate in his or her narrative. If a candidate claims that his/her work has broadly impacted the work of others, there should be indications of this in the documentation section, for example, invited papers and presentations, citations of the candidate's work, or service on government or professional society panels. When this documentation is lacking, the panel

typically views the candidate's claims with measured skepticism.

c. In Part II, the supervisor's assessment, the candidate's supervisor attests to the validity of the candidate's statements and re-affirms them.

2. INSTRUCTIONS FOR PREPARING FACT SHEET

General: Employees are required to prepare fact sheets according to the format outlined in Appendix A. In cases where the employee has no data applicable to a specified heading, put the word "None." In all categories, be sure to number pages, include dates (starting with the most recent and going back no more than ten years) for stated claims and indicate the impact of the contribution or achievement. All acronyms should be spelled out the first time used. Keep in mind that the Panel members are from diverse fields so jargon should be avoided. The narrative in Part I, Section 7 should be written in the first person.

PART I - Prepared by the employee and reviewed and authenticated by the supervisor.

1. **INCUMBENT'S NAME** - Self explanatory.
2. **DATE OF PREPARATION** - Fill in date incumbent prepared the Factor IV information.
3. **TITLE, SERIES, AND CURRENT PAYBAND** - Self-explanatory.
4. **ORGANIZATION** - Fill in Directorate, Division and Branch name.
5. **JOB DESCRIPTION NUMBER** - As indicated on the incumbent's official job description.
6. **QUALIFICATIONS** - This element will be broken down into education and experience of the employee. Education will consist of a listing of both (1) academic (including major subjects and degrees earned with institutions and dates) and (2) in-service training, such as additional courses taken or being taken, and identified by title, institutions, and year taken. If the incumbent is engaged in current and vigorous professional development, this fact should be noted under this same sub-element. The experience portion presents a resume of past work experience,

including dates, titles of positions held, employer(s), and a summary statement of the responsibilities of positions held described in your own words, not the standard job description terminology. Do NOT include a detailed list of achievements associated with each position; such information will be covered in Section 7.

7. CONTRIBUTION AND ACHIEVEMENTS - This element is further broken down as follows:

a. **General** - This will include a brief narrative of the achievements in research by specifying the field of work, contributions made (such as results attained, techniques developed, theories, new concepts or specific phenomena evolved) and the importance and impact of the individual's research work (such as influence of work on own organization, whether contributions serve to move the state-of-the-art forward, or whether other employees must keep abreast of employees' contributions). Concisely describe and highlight all major achievements. Include approximate dates so Panel can assess currency of contributions. Also, include under this heading any work associated with contract work, such as monitoring contracts, providing guidance to contractors, etc.

b. **Publications** - This element is divided into three subgroups as follows:

(1) **Government Publications** - These are typically issued both locally and through the Defense Technology Information Center. Include in this group research reports, technical reports and notes, memorandum reports, authored portions or government handbooks, etc.

(2) **Open Literature Publications** - These typically appear in restricted or unrestricted (open) journals, textbooks, and articles in scientific magazines. Include under this heading only those papers/articles which have been reviewed, judged, or in some other way subjected to "refereed" pre-publications evaluation.

(3) **Other Publications** - Include under this heading all publications not covered in (1) and (2). Appropriate for inclusion under this element are theses prepared for graduate degrees, non-refereed technical papers, etc.

In addition, the following specific instructions apply to the publications:

- (1) Include author, report number, title, date, and publication information (such as journal name, volume, pages, and publisher).
- (2) If the article appears in a book, journals, or similar document, include pages of article (e.g., pages 35-47).
- (3) List authors of co-authored publications in the same order they appear on the actual publication.
- (4) If co-authored, include the approximate percentage of contributions made by employee, as well as a brief description of the specific contributions made (e.g., 75%-planned and carried out experiment and wrote report).
- (5) If a presentation of a paper to a professional society or group resulted in publication of that presentation in a substantially different form, it may also be listed as a publication. If the published form does not differ from the material presented orally, then it should be included either as a publication or as an appearance, but not both. In either event, an abstract of a paper given at a meeting should not be listed as a publication.

c. **Patents, Inventions, or Techniques** - Include a brief description of inventions, techniques, devices designed, and all patents granted or pending. If none, cite "None." Include date patent applied for or patent number and date granted.

8. **RECOGNITION AND PROFESSIONAL STATURE** - This element is broken down into subgroups as follows:

a. **Presentations To/Appearances Before Professional Groups** - This heading includes presentation of papers and/or employee's appearance before various professional groups; also included are briefings. In all cases, topic discussed, the date, and the name of the person/activity addressed should be included.

(1) **Government Groups**

(a) **Inter-Laboratory** - This includes such presentations as Directorate/Laboratory colloquia, but does not include

intra-laboratory briefings (e.g., to employee's supervisory chain of command).

(b) **Major Command/Agency/Interagency** - This heading includes briefings and presentations to higher headquarters, other federal agencies, and the like.

(c) **International** - Includes all presentations, briefings, and/or appearances before representatives of other countries' governments, armed services, and/or professional groups.

(2) **Professional Societies, Associations, and Universities** -Include in this paragraph all presentations to and/or appearances before national and international groups, private foundations, and the like. Indicate if presentation was based upon an invitation to appear and/or whether paper was refereed prior to selection.

b. **Membership on Technical Panels and Committees** - Cite if employee is, or has been, a member or chairperson of specific government panels, committees, or boards; specify the purpose of the committee(s) or panel(s) and the role of the employee in these groups. Include invited chairpersonships and national leader designations that have been or are held. Include date(s) of membership. If the employee has never been a member or chairperson of any group, cite "None."

c. **Consultative Assistance to Others** - When citing consultative assistance, include dates, person to whom assistance was given, and subject of consultation. Do not include as consultation interoffice exchange of status of work, details of latest assignment, and the like.

d. **Known Favorable Reviews and Citation of Work** - List name of citer, publication in which remark appeared, date, and synopsis of citation. A formal citation search is encouraged and the method used to conduct the citation search should be indicated. List both government and open literature publications which contain such citations. If none are known, state "Unknown." If none exist, state "None." Do not include awards or letters of appreciation under this heading; these will be placed in Section 8f, "Awards or Other Honors."

e. **Professional Society Membership** - Document all memberships in national professional or honorary societies. Include level of membership (i.e., senior member, fellow).

f. **Awards or Other Honors** - Include any awards, honorary degrees, or other evidence of professional attainment. If awards are listed, give the basis of the awards (i.e., Army R&D Achievement Award for work on Project ABC. . .), include date(s); if none, state "None."

PART II - Prepared by Incumbent's Supervisor.

CONCISELY DESCRIBE INCUMBENT'S DEMONSTRATED ABILITIES AND IMPACT OF INCUMBENTS'S/CANDIDATE'S TECHNICAL ACHIEVEMENTS AND SCIENTIFIC CONTRIBUTIONS IN RELATION TO THE ORGANIZATION.

1. Discuss demonstrated capacity and impact of scientific accomplishment of the employee evidenced by performing in a specific area of considerable scope and complexity, such as those which involve a series of complete and conceptually related studies.

2. Discuss evidence of employee's technical attainment and leadership in areas of significant importance or ability to solve problems which are exceptionally difficult and unyielding.

3. Discuss ability of the employee to stimulate colleagues or subordinates in the performance of assigned work, including the pursuit of further studies or application of the work.

4. Sign hard copy of Employee Fact Sheet being submitted to the Panel.

APPENDIX C

PAYBAND DETERMINATION CHART

Total point value assigned to the four factors may be converted to payband in accordance with the chart below:

CONVERSION SCALE	
PAYBAND LEVEL	TOTAL OF FACTOR POINT VALUES
PAYBAND II	24 and below
PAYBAND III	26-44
PAYBAND IV	46-50

When the points assigned to a position do not meet the minimum point range assigned to the payband, the incumbent will not be promoted at this time, but will remain in current payband and may be referred for Factor IV consideration in the future.

