



DEPARTMENT OF THE NAVY
UNITED STATES NAVAL ACADEMY
ANNAPOLIS, MARYLAND 21402

USNAINST 12410.4B

24/ED

6 August 1982

CH-1
CH-2

USNA INSTRUCTION 12410.4B

From: Superintendent

Subj: Upward Mobility Program and Procedures at the Naval Academy

Ref: (a) Executive Order 11478
(b) Public Law 92-261, EEO Act of 1972
(c) Public Law 95-454, Civil Service Reform Act of 1978
(d) Civilian Personnel Letter (CPL) 410-5 of 25 August 1980
(e) SECNAVINST 12410.21
(f) OPNAVINST 12713.4
(g) SECNAVINST 12000.23
(h) USNAINST 12335.1

(D)

1. Purpose. To develop policy and procedures for the Upward Mobility Program (UMP) for civilian employees which (R) comply with references (a) through (g). This program will seek to combine human resources with mission responsibilities for maximum benefits to both the Naval Academy and its employees. The Naval Academy is committed to planning, organizing, and implementing the UMP.

2. Cancellation. USNA Instruction 12410.4A

3. Background. References (a) through (g) require Federal agencies to provide opportunities for lower graded (R) employees to enhance their skills, to perform at their highest potential, and to advance their careers in accordance with their abilities. The UMP concept was developed to meet these requirements. The UMP is an integral part of the Naval Academy's Equal Employment Opportunity (EEO) Affirmative Action Program Plan (AAPP) and supports the Naval Academy's EEO efforts by providing developmental opportunities to employees in lower grades (GS-9 and below and equivalent wage grade) who are in positions which do not enable them to realize their full work potential.

4. Responsibilities. All supervisors and managers at the Naval Academy share in the responsibility of establishing and implementing the UMP.

a. ALL MANAGERS are responsible for:

- (1) Allocating sufficient financial and personnel resources to develop and carry out the program.
- (2) Conveying personal support and commitment to the success of the program to subordinate managers and supervisors.
- (3) Becoming thoroughly familiar with the objectives and procedures of the program.
- (4) Evaluating their own organizations in order to determine the feasibility of establishing upward mobility positions.
- (5) Setting goals using the UMP.

b. SUPERVISORS of upward mobility employees are the key to the success of the program. Their prime responsibilities are:

- (1) To assist in preparing the appropriate training plan.
- (2) To ensure that the prescribed training and/or experience are provided.
- (3) To assist in the identification of target positions.
- (4) To provide input into the development of the various levels of position descriptions needed for the program.
- (5) To assign work, to plan, and to arrange for on-the-job or special training, monitor progress, counsel and encourage employees, and report on progress.
- (6) To determine if and when the trainee has completed the work necessary for the target position and recommend his/her assignment to the position (in conjunction with a staffing specialist from the Civilian Personnel Department (CPD)).

c. DEPUTY FOR MANAGEMENT is responsible for:

- (1) Identifying job/position opportunities (in conjunction with the CPD staff) for restructuring.
- (2) Participating in overall planning, implementation, and evaluation.
- (3) Assisting in estimating and accounting for dollar resources.

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d. DEPUTY EQUAL EMPLOYMENT OPPORTUNITY (DEEO) OFFICER is responsible for:

- (1) Insuring that the UMP is addressed in all AAPP's.
- (2) Participating in the overall planning, implementation, and evaluation of the program.

e. CPD STAFF

(1) Employee Development Officer, as UMP Coordinator:

- (a) Has overall authority over the program.
- (b) Insures that training plans and/or individual development plans are prepared and administered properly.
- (c) Insures that required training and career counseling are provided.
- (d) Submits progress reports in a timely manner.
- (e) Conducts the program in accordance with applicable instructions.
- (f) Administers training billets.

(2) Employment Division is responsible for:

- (a) Filling upward mobility positions through merit procedures.
- (b) Advertising the opportunities through vacancy announcements.
- (c) Receiving, rating, and evaluating applications and certifying eligibles to selecting officials.
- (d) If necessary, conducting skills surveys and analyzing resulting data.
- (e) Establishing, maintaining, and utilizing a skills bank.

(3) Classification Division assists supervisors and managers in developing trainee, bridge, and target position descriptions or in the restructuring of positions.

f. EMPLOYEES are responsible for:

- (1) Objectively appraising their own qualifications and abilities.
- (2) Identifying their career goals.
- (3) Actively developing and pursuing their own career plans.
- (4) Seeking assistance from their supervisors and other appropriate personnel regarding their career development, training needs, and career aspirations with the Naval Academy.
- (5) Seeking and using all means of self-development available, including after-hours training.
- (6) Applying, if interested, for upward mobility vacancies.
- (7) Offering suggestions for improvement of the program.

5. Eligibility. All civilian employees of the Naval Academy and those organizations serviced by CPD, Naval Academy, are eligible to apply for UMP opportunities who:

- a. Are currently classified at GS-9 and below, or wage grade equivalent.
- R) b. Are serving under permanent full-time career or career-conditional appointments. Employees serving under excepted Schedule A appointments, Veterans Readjustment Act (VRA), or permanent part-time appointments are also eligible for participation.
- c. Employees applying must have a current record of service and conduct which is satisfactory and have a satisfactory or better performance rating.
- d. Are serving in the activity where the vacancy is located.

6. UMP Billets. The UMP Coordinator, in conjunction with the Deputy for Management, Cost Center Heads, the CPD Classification and Employment Staffs, and DEEO Officer, will seek to identify UMP billets by reviewing:

- a. Employee turnover.
- b. Changes in mission and program practices.
- c. Present and anticipated vacancies.

- d. Local hiring patterns and positions which are hard to fill.
- e. The occupations which can be readily used for upward mobility.
- f. Employee questionnaires where applicable or appropriate.

All managers and supervisors will assist with this billet identification process as requested by the UMP Coordinator.

7. Program Implementation and Procedures

- a. Target Positions. For each upward mobility action, a target position will be identified and established.
- b. Position Descriptions. For each target position established, position descriptions will be prepared specifying the nature of assignments and type of experience to be acquired.

c. Merit Staffing Procedures. All UMP positions will be announced under merit staffing procedures without discrimination because of political, religious or labor organization affiliation or nonaffiliation, marital status, race, color, sex, national origin, nondisqualifying physical or mental handicap, or age. UMP vacancies will require the use of a vacancy announcement. These announcements will be distinctively marked to distinguish them from regular merit staffing announcements.

d. Area of Consideration. The area of consideration for upward mobility positions differs from the area of consideration definition used in reference (h). The area of consideration under the UMP is limited to each activity serviced by the CPD, i.e., Plant Equipment Support Office, Navy Branch Commissary Store, Naval Regional Medical Clinic, and the Naval Academy which includes the Midshipmen Store and Services Division and the Naval Station, Annapolis. (R)

e. Selection Criteria. Selection criteria for upward mobility positions will be based on the following measures which identify those knowledges, skills, abilities, and personal characteristics that indicate potential for successful performance of the major tasks in the target positions:

(1) Applications and/or supplementary questionnaires.

(2) Performance Appraisals - at a minimum, two appraisals are required, one of which must be submitted by the applicant's immediate supervisor.

(3) Interviews - conducted by the selecting official.

*Note: The selecting official, described in reference (h), will be the official making the final selection. (R)

(4) Tests - when appropriate, which have been approved by the Office of Personnel Management and the Department of the Navy.

f. Rating Panels. Rating panels will be used for all UMP vacancies. The panel will consist of three voting members. One of the three voting members will be a EEO Office representative. All panel members will have, when feasible, some knowledge of the duties and responsibilities of the position. All panel members are given training prior to rating and reviewing the knowledges, skills and abilities (KSA's) for the job. In the case of the vacancy occurring in the bargaining unit, a union representative will be a voting member of this panel. Additionally, all panels will include a CPD staff member who will serve as an advisor to the panel members. The panel will rate and rank applicants on their potential according to the selection criteria previously developed by the supervisor. Panel members will consider performance appraisals, self-rating instruments, and any tests if administered.

g. Ranking. All candidates for a UMP vacancy will be ranked by the rating panel by careful evaluation of the quality of work experience, education and training, supervisory appraisals, and other evidence of potential. Applicants will be ranked according to two categories - average potential and high potential. This ranking will be based on the overall evaluation of each applicant's potential and ability to perform in the target position. Normally, three to five of the highest potential candidates will be certified to the selecting official. However, less than three applicants or more than five applicants may be referred if an identifiable rating distinction cannot be made among applicants.

h. Placement

(1) An applicant selected for an upward mobility position may be placed in the trainee position through either reassignment, promotion, or change to lower grade. A change to lower grade under this program is not considered to be at the employee's request for purposes of pay retention. If a change to lower grade occurs, the employee will be entitled to salary retention in accordance with part 536 of Office of Personnel Management regulations. Final placement in the target position is dependent upon the supervisor's certification of satisfactory completion of the requirements of the individual training plan.

(2) When selected for a UMP position, the employee may be detailed for 60 days. During this period, the trainee's performance will be closely monitored and a decision will be made as to permanent assignment. The employee retains the option to revert to his/her original position, or one of comparable grade or rank, during this trial period. If the trainee is already permanently assigned to the same department as the UMP billet, the individual may be placed immediately in the billet.

(3) The upward mobility period can extend from 6 months to 2 years, depending upon the skills that the employee brings to the job and the amount of training needed. The emphasis will be on demonstrated performance in the successful accomplishment of the major job elements of the target position.

i. Training Plan

(1) An individual training plan which outlines on-the-job training, formal course work, and individual study requirements and options must be developed for each employee selected for an upward mobility position within 30 days after assignment. Training plans will be developed as a joint effort between the supervisor, CPD Employee Development Division, and the trainee. At least 50 percent of the training period must consist primarily of on-the-job training in the target area or in functions closely related to the target position.

(2) Training Plan Flexibility. The length of training for UMP employees will vary depending upon the skills needed to perform in the target position and upon the capabilities of the employee. The upward mobility training period extends from a minimum of 6 months to a maximum of 24 months before reassignment and/or promotion to a specific target position can be effected. All trainees, both General Schedule (GS) and Wage Grade (WG), must meet this minimum length of training. In the WG cases where the trainee possesses only potential for advancement, a minimum of 12 months is required. The length of the training period may be extended an additional time period -- a maximum of 6 months beyond the 24 months. Reasons for extending the length of the training may include the following:

(a) To cover time lost due to illness.

(b) To provide trainee time to meet minimum standards of accomplishment during any evaluation period.

(c) To provide additional time for a trainee to participate in special training programs, courses, and assignments.

(d) Trainee enters the U. S. military service.

(3) Appropriate changes in the training plan may be made at any time to coincide with the mission of the needs of the organization.

j. Career Counseling. Counseling services are available to all employees regarding the development and implementation of the UMP. Counseling may be provided by the supervisor, DEEO staff, and/or the CPD staff.

(1) Initial Counseling. This counseling is geared to assist employees in assessing their KSA's, and in relating them to the needs of the organization. Initial counseling should give the employee a realistic appraisal of the opportunities available to him/her within the organization including the possibilities of a career change, training opportunities available, and positions that are or at some future date may be available as UMP positions.

(2) Individual Counseling. Upon selection for an upward mobility assignment, counseling is focused specifically on the trainee in relationship to the UMP job. Emphasis is directed towards:

(a) Any adjustment problems regarding the work environment.

(b) Employee capabilities and career goals within the organization.

(c) Assisting the trainee to learn and develop in the work environment.

(d) Evaluating the training plan to determine the need for revision in training emphasis.

k. Evaluating the Progress of the Participant. Within 30 days after assignment to a trainee position, a preliminary evaluation will be made to assess developmental needs of the employee in terms of meeting the job criteria requirements of the target position and to complete an individual development plan to meet them. Written supervisory and employee evaluations on the trainee's application of training received and overall development on the job will be made 60 days after assignment to the trainee position and quarterly thereafter. These evaluations will be submitted to the Employee Development Division of the CPD. Failure to receive a positive evaluation can result in the trainee being dropped from the program. After the trainee has completed the training program, the supervisor will prepare a final summary evaluation of his/her achievement of performance.

l. Failure to Meet Requirements. If at any time during the training period, an employee fails to meet the training requirements, he/she will be deleted from the UMP. However, if it is through no fault of their own, i.e., cancellation of a class, serious illness, etc., the training plan can be amended. Participants who fail to meet the performance requirements of the training agreement may be reassigned to another position, at the same grade level of the trainee position, without adverse action procedures. However, if such a position is not available, action to either place the employee at a lower grade or to separate the employee must be accomplished through adverse action procedures. An employee who entered the training program through a change to lower grade and does not successfully complete the training, may be repromoted up to his/her former grade as an exception to

merit staffing procedures in accordance with current Department of the Navy policy.

m. Performance Versus Potential. Upward mobility occurs when an employee, through a combination of merit promotion and planned training, moves from one position to another which has greater potential for advancement.

*Note: Employees of USNA who are identified as being employed in positions for which they are currently under utilized and who possess the basic X-118 qualifications for other occupational series, will normally be selected under regular merit staffing procedures.

n. Completion. Upon successful completion of the prescribed training, the selecting department will make a (R) written recommendation to the UMP Coordinator that the trainee be placed in the target position. Once an employee has reached the target position, further promotion if within a career ladder will be non-competitive (reference (h) applies).

*Note: If the manager/supervisor determines the trainee has the necessary qualifications and experience to be (R) reassigned and/or promoted to the target position prior to the training plan completion, the position may be audited by a position classifier. Additionally, the necessary qualifications, experience, and time-in-grade restrictions must also be met.

o. Program Evaluation. The UMP should be reviewed on a continuing basis. The Employee Development Officer and the DEEO Officer shall review the overall plan and operations at least annually in order to determine effectiveness. This review of the UMP should insure that:

- (1) Proper person power planning has been conducted.
- (2) Target positions and individual training plans have been prepared for all participants.
- (3) Employees selected for upward mobility assignments are successfully completing the training prescribed.
- (4) Sufficient counseling services are being provided.
- (5) Identification of problem areas and recommendation for corrective action.
- (6) Analysis of dropouts from the UMP.



J. R. POOLE
Deputy for Operations

Distribution:
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CPD (50)



DEPARTMENT OF THE NAVY
UNITED STATES NAVAL ACADEMY
OFFICE OF THE SUPERINTENDENT
ANNAPOLIS, MARYLAND 21402

USNAINST 12410.4B CH-1
24/ED
9 May 1985

USNA INSTRUCTION 12410.4B CHANGE TRANSMITTAL 1

From: Superintendent

Subj: UPWARD MOBILITY PROGRAM AND PROCEDURES AT THE NAVAL ACADEMY

1. Purpose. To issue change 1 to subject instruction.

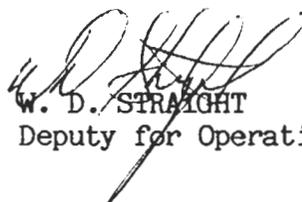
2. Action. Make the following pen and ink change:

a. Change paragraph 4b(2) to read:

Lead staff responsibility for the UMP, including participating in the overall planning, implementation, and evaluation of the program.

b. Add paragraph 4d(3):

Serving personally as the UPM manager or arranging the nomination and appointment of a qualified manager.


W. D. STRAIGHT
Deputy for Operations

Distribution:

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CPD (15)



DEPARTMENT OF THE NAVY
UNITED STATES NAVAL ACADEMY
ANNAPOLIS, MARYLAND 21402

USNAINST 12410.4B CH-2
24/ED
28 May 1985

USNA INSTRUCTION 12410.4B CHANGE TRANSMITTAL 2

From: Superintendent

Subj: UPWARD MOBILITY PROGRAM AND PROCEDURES AT THE NAVAL ACADEMY

1. Purpose. To issue change 2 to subject instruction.
2. Action. Make the following pen and ink changes:
 - a. Change page 1, paragraph 4b(2) to read:
To ensure that the prescribed training and/or experience are provided.
 - b. Change page 2, paragraph 4d(2) to read:
Lead staff responsibility for the UMP, including participating in the overall planning, implementation, and evaluation of the program.
 - c. Change page 2, paragraph 4e(1)(a) to read:
Responsible for overall administration of the program.
3. Cancellation. When required action has been taken.

A handwritten signature in cursive script, appearing to read "R. J. MACH", is written over the typed name.

R. J. MACH
By direction

Distribution:
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CPD (15)