



DEPARTMENT OF THE NAVY  
NAVAL SEA SYSTEMS COMMAND  
WASHINGTON, D.C. 20362

IN REPLY REFER TO  
NAVSEAINST 12410.7  
OOH4/RCL  
Ser 339  
12 Mar 1983

NAVSEA INSTRUCTION 12410.7

From: Commander, Naval Sea Systems Command  
To: All Offices Reporting to COMNAVSEA

Subj: Upward Mobility Program

Ref: (a) SECNAVINST 12410.21 of 18 Mar 1981, subj: Upward  
Mobility Program  
(b) OPNAVINST 12713.4 of 13 Nov 1980, subj: Upward  
Mobility Program  
(c) Civilian Personnel Letter (CPL) 410-5, Training  
Agreement facilitating upward mobility of general  
schedule and wage grade employees

Encl: (1) Upward Mobility Program Procedures

1. Purpose. To provide procedures for the planning, implementation, and assessment of the Upward Mobility Program in Naval Sea Systems Command (Headquarters) in accordance with references (a) through (c).

2. Background

a. In order to facilitate requirements of Executive Order 11478 and PL 92-261 (EEO Act of 1972), this instruction is provided to assign responsibility for the NAVSEA Upward Mobility Program. The Upward Mobility Program allows employees having a high degree of work potential, but lacking the qualifying experience, to compete for positions wherein the minimum qualifications are deferred under the Department of the Navy Training Agreement.

b. The anticipated results of the program greatly depend upon the willingness and support managers extend to the attainment of career aspirations of employees who seek to realize their full work potential. The basic framework of the Upward Mobility process is identified in this instruction.

3. Program Objectives

a. To staff selected NAVSEA positions having higher career ladders through merit competition among lower level employees with potential, but who are incumbered in dead-end jobs.

b. To support management actions in maintaining a stable work force by giving supervisors and managers an effective alternative to staffing vacancies at the full performance level.

c. To provide a means for managers and supervisors to effect change in organizational areas and in occupational series in which underrepresentation of minorities and women exists. Specifically, to provide an internal source of candidates for specific occupations identified under the Federal Equal Opportunity Recruitment Program (FEORP).

4. Upward Mobility Staffing Policy. To achieve these objectives, it is the policy of this Command that all vacancies or proposed new positions GS-4 through GS-12 be reviewed by supervisors and higher level managers to determine whether it is feasible or desirable to staff these positions through Upward Mobility procedures.

5. Scope. All activity career and career-conditional employees are eligible to apply; this includes employees at grades GS-01 through GS-09, WG-01 through WG-09, or other equivalent wage rates, Veteran Readjustment Appointment (VRA) appointees, and handicapped employees serving in excepted positions under Schedule A appointing authority (FPM-213, Ser 2133.03(u) of Appendix C).

6. Responsibilities

a. COMNAVSEA will assist the program by:

(1) Requiring managers to review staffing plans annually and identify positions which can be filled through Upward Mobility.

(2) Allocating resources to facilitate an effective program.

b. Upward Mobility Program Coordinator (UMPC) (SEA-OOH) will:

(1) Ensure that the policies, procedures, and objectives of the program are implemented to the maximum extent possible.

(2) Participate in Command surveys to determine the anticipated use of the program, through coordination with each Directorate.

(3) Provide information to supervisors and employees about the mechanics of Upward Mobility.

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(4) Assist in the development and implementation of career counseling modules, along with the establishment of activity skills bank.

(5) Monitor the development and progress of the trainee and training plan.

(6) Participate in the annual evaluation of the Upward Mobility Program, in accordance with reference (c).

c. Managers and Supervisors, in support of overall Command Upward Mobility objectives, will:

(1) Review vacancy or projected staffing needs to determine the use of Upward Mobility.

(2) Ensure that if a minority or woman is within the Highly Qualified group or selection range, every consideration be given to affirmative action and fulfilling the Command's EEO goals.

(3) Develop and execute an individual development plan within 30 days of the trainee's selection, continually providing assistance to the trainee where and when necessary.

(4) Evaluate and submit quarterly reports of the trainee's progress or failure in completing training assignment. (See enclosure (1)).

d. Position Management (SEA 09BC) is responsible for:

(1) Reviewing staffing requirements annually to determine the feasibility of program use.

(2) Collaborating with line management to encourage restructuring or realigning functions to enhance the use of Upward Mobility.

(3) Participating in annual assessment of the program along with SEA OOH.

e. Consolidated Civilian Personnel Office (CCPO) will provide technical advice and assistance to supervisors and employees regarding various aspects of Upward Mobility. Specifically, the CCPO is responsible for:

(1) Working with activity Upward Mobility coordinators, task forces and committees.

(2) Analyzing data essential to the identification of occupations and grade levels of employees who do not have

adequate advancement opportunities, identification of appropriate target positions, position requirements, selection systems, and career ladder elements.

(3) Advising management in all phases of Upward Mobility including the establishment of appropriate vacancies for advertisement.

(4) Monitoring the selection process to ensure compliance with EEO, Upward Mobility, and merit promotion procedures, including approving job elements and crediting plans, determining eligibility, advising panels, and certifying applicants for selection.

(5) Monitoring the training process including the development of training plans, their approval, and monitoring the completion of required training.

(6) Assisting managers with restructuring positions and establishing trainee, target, and bridge positions.

(7) Providing career counseling to supervisors and employees.

7. Program Use. To achieve the anticipated goals of Upward Mobility, the Command has five approaches which can be utilized. The results of using one or more of the following strategies (a thru d) can be credited toward Upward Mobility achievement. In each case, the ultimate aim is to make available employment opportunities or experience which will enable employees to realize their work potential or career aspirations.

a. Department of the Navy-Wide Training Agreement (reference (c)). This agreement provides for the establishment of Upward Mobility positions in occupations having career ladders above the GS-8 and WG-8 levels and for occupations which provide qualifying experience for career advancement or cross-over. Formal qualification requirements are waived so as to allow lower level employees who lack the qualifying experience an opportunity to compete on the basis of their potential to perform the tasks. An accelerated training plan is developed to ensure the trainee is provided the skills necessary for career entrance and progression. Details for using this approach are addressed in enclosure (1).

b. Job Restructuring to Establish Bridge Positions. This method requires the realignment of duties or functions within a unit in order to enhance productivity and to increase the use of specialized personnel. This is accomplished by extracting lower level work from the "professional" or journeyman positions. The

assembly of these tasks forms the technician or bridge positions. A bridge position provides qualifying experience for entry into careers with greater growth potential. Positions in this category are usually within one-grade interval series (i.e. Budget Clerk, GS-561 or Procurement Clerk, GS-1106). This approach can be used in conjunction with the DON Training Agreement (Para. 7.a) or may be used alone as an Upward Mobility opportunity using normal promotion procedures.

c. Entry-Level Positions. This method is similar to restructuring, with this distinct difference. The establishment of entry-level positions for which there is known promotion potential does not require developing a new job. The journeyman position, when vacated, is filled at the entry-level (i.e. GS-345-12, filled at the GS-345-5/7). In order for this method to be counted as Upward Mobility, competition must be limited to NAVSEA, merit promotion procedures are observed and the selectee is placed in a formalized development program targeted toward a higher level.

d. Establishment of Target Positions at Various Grade Levels. Target positions may be established at various grade levels and occupations for all employees at and below GS-9 and equivalent wage positions to enable them to move into new occupations offering career progression. This method is useful in achieving Upward Mobility results when it is targeted toward the employees who are dead-ended by grade or occupational growth. For example, if the grade level toward which the Upward Mobility effort is to be directed is at GS-5 and the career field has promotion potential to GS-9 or above, the trainee position will be established at the GS-5, 7, and 9 level.

e. Providing Training Opportunities. While the use of this strategy does not have an immediate impact on employee progression, it allows the employee to increase his or her competitiveness for selection through skills upgrading. The training is made available without placement of the employee in a trainee position. The type of training must be based upon the skills that are required within the Command. For example, a GS-318-5 Secretary is interested in pursuing the Engineering Technician position, GS-802. Since the skills can be utilized within the workforce, this employee is eligible to apply and compete for the training opportunity. Merit promotion procedures will be observed in selecting candidates for training.

## 8. Action

a. Annually in July, the Upward Mobility Coordinator will survey the Command to determine the universe of Upward Mobility opportunities targeted for the upcoming fiscal year.

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b. The anticipated results of Upward Mobility will be indicated in the annual Federal Equal Opportunity Recruitment Program (FEORP), to be reported in September.

c. All vacancies occurring in occupations listed in enclosure (1) will be considered for staffing through the use of Upward Mobility procedures. Position management will assist managers during the annual position management review.

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SNDL C37F3 NAVMATDATSYSGRU

NAVSEA Special List Y4  
SEA 09B354 (300)

  
J. H. WEBBER  
Vice Commander

Upward Mobility Program Procedures

1. Requesting Upward Mobility Position

a. All offices establishing Upward Mobility positions will submit an Upward Mobility package to the CCPO via the UMPC, which will include:

- (1) SF-52 (with designation as Upward Mobility)
- (2) Position Description (trainee, targeted position and full performance level of the position)
- (3) Job Elements (Critical or Non-Critical)
- (4) Crediting Plan

b. Offices requesting the use of Upward Mobility training billets must ensure that the following conditions are met:

(1) High probability of target positions being available at the end of training period.

(2) Commitment, in writing, to place trainee within assigned Directorate upon satisfactory completion of training period.

(3) Placement of trainee will be under supervision that assumes full responsibility for identifying training needs, developing training plan, assigning work and providing quarterly evaluation of employee's performance and progress.

c. The approval of trainee ceiling allocation will be contingent upon these above conditions being met. The UMPC will administer the trainee billets allocated by SEA 001.

d. The establishment of Upward Mobility positions should also be targeted towards assisting the Command in meeting affirmative employment goals as specified in the annual Affirmative Action Program Plan.

2. Selection of Trainees

a. All applicants will be rated and ranked in accordance with current merit promotion procedures.

b. A three-member panel will rate and rank candidates. The panel will consist of the supervisor of the trainee and two subject matter experts from outside of the Directorate.

c. All candidates will be rated on their potential to perform the duties of the target position. The rating criteria for evaluating UMP applicants must include a means of considering past experience, interests, or training (work and non-work related). Such factors as the ability to follow oral instructions, the ability to work independently, and the ability to meet and deal with people can elicit information for evaluating potential.

d. Various tools may be used by the panel to rate the candidates. The SF-171, supervisor appraisals, awards, and self-assessment forms are major components of the evaluation process. After assessment is completed, a list of highly qualified candidates, regardless of grade level, is forwarded to the CCPO for certification.

e. The CCPO will forward the certificate of eligibles to the selecting official (Directorate Head or designee) for selection. Selecting officials are strongly encouraged to interview all candidates certified for selection. When interviews are conducted, all certified candidates must be interviewed.

3. Notification of Selection. The CCPO will notify the selectee in accordance with merit promotion procedures. The staffing specialist will notify the selectee of any actions required or anticipated as a result of selection (i.e. downgrading, retained pay, reassignment, and retreat rights resulting from unsuccessful completion of training period, etc.).

4. Training Period. The training period may extend from a minimum of 6 months to a maximum of 24 months, depending on the needs of the trainee in fulfilling Handbook X-118 requirements. After selection, the trainee's experience and training is weighed against the general and specialized experience of the target position. If the trainee needs a combination of 4 years of general and specialized experience, and already has 1 year of required experience, he or she would need only 3 years of general and specialized experience to meet the requirements. Training time is credited at a rate of 1 month for 2 months of experience. Thus, the individual's training period would be one and a half years. Before reassignment or promotion to the target position, the trainee must meet the minimum length of training.

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5. Training Plan. Within 30 days after assignment, an individual training plan must be developed by the supervisor in consultation with the Employee Development staff and the UMPC, and subsequently approved by the CCPO. The plan must outline the required learning experience and training needed by the employee in order to gain the knowledge, skills, and abilities necessary for satisfactory performance in the target position. Training plans should contain some, if not all, of the following:

a. On-the-job Training. At least 50 percent of the training period must consist of on-the-job training in functions in or related to the target position. Assignments will be meaningful and productive and may include occasional cross-training in contributing program functions. Constant interface with a variety of work settings (i.e. staff meetings, conferences, etc.) will provide well-rounded exposure to the targeted career field. Close relations with senior professional staff members to assist on special projects will enhance the trainee's hands-on experience.

b. Classroom Training. Formal training courses may be used to supplement on-the-job training. Such training will be taken at Government expense and can be provided at Department of Defense (DOD), and Department of Navy (DON) schools, interagency training facilities, and local trade schools, colleges, or universities. Formal training should be scheduled during working hours with the trainee attending on a pay status. However, in unusual situations, trainees may volunteer to attend courses after-hours. Trainees attending after-hour courses will be carried in a non-duty status.

c. Self-development. Trainees will be encouraged to participate in self-directed development activities. The program may include extensive reading from a selective bibliography of materials related both to the career field and those dealing with public administration and management. They will also be encouraged to participate in professional societies and attend local institutions after duty hours with financial support from the activity. (See Appendix B, Format for NAVSEA Training Plan.)

## 6. Upward Mobility Evaluation

a. Supervisory. A preliminary evaluation of the trainee will be made within 30 days after assignment to the trainee position to assess the developmental needs of the employee in order to meet requirements of the target position. A written supervisory evaluation of the trainee's progress will be made within 60 days after assignment of the trainee position and quarterly thereafter. Upon completion of the training requirements, the supervisor will prepare a final evaluation report of

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the employee's performance. All final evaluation reports will be retained in the trainee's official personnel folder. Evaluation forms may be obtained from the UMPC.

b. Trainee. The trainee will prepare a written evaluation of the training received and a self-assessment of his or her development. Reports should be developed quarterly along with the supervisor's evaluation. A sample format is contained in Appendix C.

7. Career Counseling. An important aspect of Upward Mobility is career counseling. The CCPO will provide career counseling modules for the various job opportunities in NAVSEA. The modules will familiarize the candidates with the duties and prerequisites of performing functions in the chosen field. The supervisor, with the assistance of the CCPO, will provide continued counseling to ensure program objectives are met.

8. Contingencies. To avoid frequent minor amendments to the agreement, it is permissible to extend the training period a maximum of 6 months beyond the 24 months. The training period can also be shortened, provided the required 6-month training period is met. The following are instances that may warrant extension:

a. The employee's inability to grasp a portion of the training given within the specified time frame.

b. Adjustment of elapsed training time in individual cases to cover contingencies such as sick leave, court leave, extended annual leave, etc.

c. Alteration of the sequence of training to allow for learning experience to be responsive to actual work situations as they arise during the developmental period when conditions or experience indicate the desirability of such changes.

d. Addition or modification of subject matter material required by technological changes, the needs of NAVSEA, and the trainee, and evaluation experience of the development program.

9. Non-Completion of the Training Program. Participants who fail to meet the performance requirements of the training agreement may be reassigned to another position, at the same grade level as the trainee position, without adverse action procedures. However, if such a position is not available, action either to 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 a lower grade and does not successfully complete the training,

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may be promoted up to his or her former grade as an exception to merit staffing procedures in accordance with current Department of the Navy (DON) policy.

Enclosure (1)

Occupational Groups and Series Covered Under  
the NAVSEA Upward Mobility Program

NAVSEA Upward Mobility target positions can and should be established in the occupational series listed below, except for supervisory positions. In all cases target positions should be at the GS-5, 6, or 7 levels with trainee positions at the GS-4 or 5 levels. Note allowable competitive levels (CLS) for certain series (e.g., 501,)

080	Security Technician or Specialist
260	EEO Specialist
205	Military Personnel Specialist
301	International Logistics/Military Assistance Specialist
301	Material Requirements Specialist
301	Technical Data Management Specialist
301	Plans and Programs Specialist
301	Ship Alteration Coordinator
301	Configuration Management Specialist
301	Ship, Shipyard and Ordnance Cost Estimating Specialist
334	Computer Specialist
343	Management Analyst
344	Management Technician
345	Program Analyst
346	Logistics Management
565	Budget Technician (CL 233)
501	Financial Management Analyst (CL 235)
520	Accounting Technician
560	Budget Analyst
802	Engineering Aide/Technician
1101	General Business and Industry Specialist (CL 671)
1102	Contract Specialist, Procurement Analyst, Contract Administrator, or Contract Negotiator
1106	Procurement Assistant, Contract Documentation Assistant or Contract Drafting Assistant
1150	Industrial Specialist
1513	Statistical Assistant
1670	Equipment Specialist
1701	Training Operations Specialist
1910	Quality Assurance Specialist
2001	Supply Specialist
2003	Supply System Analyst
2005	Supply Technician
2010	Inventory Management Specialist

Format for NAVSEA Training Plan

Name of Trainee:

Organizational Code: \_\_\_\_\_ Phone: \_\_\_\_\_

Trainee position title, series and grade:

Supervisor's name, title, series and grade:

Length of training program: \_\_\_\_\_ mos. from \_\_\_\_\_ to \_\_\_\_\_

A. Training Objectives. List the specific skills and knowledge to be learned during the program which will enable the trainee to perform the target position duties and responsibilities:

- 1.
- 2.
- 3.

B. Training Methods. Explain how each planned method will help meet the objectives listed above.

1. Required trainee orientation. Plan an orientation of from 2 to 3 weeks to explain organizational mission, structure, work methods, rules, and interrelationships. State the scheduled time period for the orientation.

2. On-the-job training. List the major work assignments which will be used to meet training objectives. Estimate the time in weeks to be spent in accomplishing major assignment.

3. Formal training during duty hours. List planned courses and preferred month for each. Consult with the personnel specialist to decide which courses to use and when. The Navy Department Planning and Management Systems course is required for each trainee.

4. Self-development activities after duty hours. List courses, reading, and other means planned to meet training objectives. Each trainee is expected to contribute some time after hours to meet plan objectives.

C. Counseling. List a schedule for 15-20 minutes counseling sessions between supervisor and trainee. During the first part of the training program sessions should be held at least once a week; later once every other week may be sufficient. During counseling the supervisor should find out if the trainee understands and is performing work assignments, the trainee has specific problems, and has learned skills and knowledge in training courses. These sessions should also be used to get at the more intangible aspects of the development program. Is the trainee gaining confidence in dealing with other personnel? Is the trainee approaching work assignments from an analytical and judgmental point of view? If problems come up, counseling sessions should be used to resolve them.

D. Evaluation. Schedule the 90-day evaluation periods to fall at the end of major on-the-job training assignments. The trainee initiates the written evaluation, then meets with the supervisor who reviews progress with the trainee and decides whether performance is satisfactory or not. The completed report is then forwarded to the personnel specialist. As necessary, the specialist will discuss the report with the supervisor and trainee.

E. Certification. At the satisfactory completion of the training program the supervisor will certify that trainee performance warrants reassignment or promotion into the target position. One copy of the completed training plan should accompany the certification.

F. Agreement to the training plan. The supervisor, trainee, and personnel specialist should sign the plan.

TRAINEE PROGRESS REPORT/EVALUATION SHEET

This format should be used as a quarterly progress report and supervisory evaluation as well as the final summary progress or evaluation report and completion certification. As the final report, it should summarize the whole program. Any difference in the evaluation for the last quarter and for the whole program can be described by the supervisor in his comments. The last report will be filed in personnel jacket.

Trainee's name \_\_\_\_\_ Code \_\_\_\_\_ Ext. \_\_\_\_\_

Entrance Series and Grade \_\_\_\_\_ Target Series & Grade \_\_\_\_\_  
Report No. \_\_\_\_\_

TRAINEE'S COMMENTS

Work assignment. (Describe briefly the tasks you performed this reporting period).

Evaluation. State those tasks cited in your training plan that relate to the training received this period. Do you feel the training received adequately prepared you to perform these tasks? If not, list those areas where you feel you need more training.

SUPERVISOR'S SIGNATURE \_\_\_\_\_ Date \_\_\_\_\_

USE ADDITIONAL SHEETS IF NECESSARY

Appendix C  
Enclosure (1)

SUPERVISOR'S COMMENTS

Is trainee meeting performance standards for the grade level held?  
(Cite which tasks were assigned this period and rate performance  
against standards.)

1. a. Task: \_\_\_\_\_  
\_\_\_\_\_

b. Performance Rating: (Briefly state performance standard  
and how well it was achieved.) \_\_\_\_\_  
\_\_\_\_\_

2. Task: \_\_\_\_\_  
\_\_\_\_\_

a. Performance Rating: \_\_\_\_\_

3. Task: \_\_\_\_\_  
\_\_\_\_\_

a. Performance Rating: \_\_\_\_\_

4. Task: \_\_\_\_\_  
\_\_\_\_\_

a. Performance Rating: \_\_\_\_\_

5. Task: \_\_\_\_\_  
\_\_\_\_\_

a. Performance Rating: \_\_\_\_\_

SUPERVISOR'S SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_