

CHAPTER 5

MERIT PROMOTION

and

INTERNAL PLACEMENT

NOTE: This chapter should be read in conjunction with local activity instructions and with any negotiated agreements between your activity and an exclusively recognized labor organization. Contract language will generally take precedence over conflicting provisions in this manual. Areas of uncertainty should be discussed with the Human Resources Office.

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MERIT PROMOTION AND INTERNAL PLACEMENT PLAN

1. PURPOSE

Merit promotion is just one method supervisors and managers can use to fill job vacancies. Under merit promotion, every candidate is given fair consideration for selection based on merit. For recruitment RPA's, complete and submit information addressed in Appendix 5A

2. RESTRICTIONS.

- Before positions are filled competitively, certain categories of employees are entitled to prior consideration for vacancies. These categories are as follows:
- Certain employees entitled to grade and/or salary retention.
- Employees who, in the preceding 12 months, did not receive consideration for selection in a prior case due to a procedural, regulatory, or program violation. These employees will be considered before other candidates when filling another vacancy within the activity.
- Navy Re-employment Priority List registrants.
- DOD Priority Placement Program registrants.

3. MANAGEMENT PREROGATIVES

Management has the right to select from many recruiting sources. In deciding which source or sources to use, managers have an obligation to determine which is most likely to best meet activity mission objectives, including the consideration of affirmative action.

4. FAIR AND EQUAL CONSIDERATION



Under the Merit Promotion Plan, every employee is given the opportunity for fair consideration for selection; it does not guarantee that every employee will be promoted. Actions under this plan, whether in identification, qualification, evaluation, or selection of candidates, or any other phase of the promotion process, shall be made without regard to political, religious, or labor organization affiliation or non-affiliation, marital status, race, color, gender, national origin, non-disqualifying physical handicap or age, and shall not be based on any criteria that are not job-related, including favoritism based on personal relationship or patronage.

5. COVERAGE

This plan covers all competitive service and excepted service positions. Competitive procedures will apply to the following actions:

- Temporary promotion of more than 120 days unless the selectee has permanently held the higher grade level previously.
- Selection for detail for more than 120 days to either a higher graded position or to a position with known promotion potential unless the selectee has permanently held the higher graded position
- Selection for training required for promotion.

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- Reassignment or demotion to a position with more promotion potential than the employee's current position (except as permitted by RIF regulations) unless the selectee has permanently held the higher grade level.
- Transfer of a non-Navy employee to a higher graded position.
- Reinstatement to a permanent or temporary position at a higher grade than the highest grade held under a non-temporary appointment in the competitive service.

6. EXCLUSIONS

Merit promotion procedures do not apply to the following:



- Selections of candidates from OPM certificates.
- Reinstatement, transfer, or noncompetitive re-promotion of an employee to a higher grade previously held on a permanent basis under career or career-conditional appointment, provided the employee was not demoted or separated from that grade for cause.
- Promotion of an employee whose position is classified at a higher grade level due to the accretion of duties, or the issuance of a new classification standard.
- Career promotions of employees when competition was held earlier.
- Promotion of an employee who qualifies for an excepted appointment (handicap, Veterans Readjustment Appointment, etc.).
- Temporary promotion of an employee for not more than 120 days within a 12-month period.
- Temporary promotion of an employee for more than 120 days to a grade previously held on a permanent basis.
- Detail of an employee for not more than 120 days to a higher grade or to a position with known promotion potential.
- Position change (either reassignment, demotion, or promotion) of any permanent employee from a position having known promotion potential to a position having no higher potential.
- Position change to the same or lower grade.

7. VACANCY PLANNING RESPONSIBILITIES



- Initiating the fill action.
- Defining and capturing the need.
- Understanding the job, its functions, duties, responsibilities, and skill requirements.
- Ensuring there is an adequate Position Description.
- Considering issues that may impact hiring.

8. SELECTING OFFICIAL RESPONSIBILITIES

When recruiting for vacant positions, the selecting official decides how candidates will be recruited to fill a vacancy and considers affirmative action goals in selecting recruitment sources. No selection, offer, or commitment, either expressed or implied, will be made before final selection and approval by the official authorized to make the selection. HRSC-NW will notify the person selected. Accountability for the end result of the selection (e.g., EEO consideration, merit factors, budget considerations, skill, and knowledge/ability requirements) rests with the selecting official. Candidates may be located from a variety of sources, including the Merit Promotion Plan discussed below. For information regarding other recruiting sources, see Alternative Recruitment Methods section in this chapter.



9. UPWARD MOBILITY PROGRAM

See the Upward Mobility Program section in this chapter for more information.

10. MERIT PROMOTION PLAN

a. Management Identification of Candidates (MICs)

Some positions may be filled competitively without formal vacancy announcements. Management officials may select a candidate for promotion without formal competition when the area of consideration is small enough that the selecting official knows all potential applicants. The selecting official fulfills regulatory requirements for competitive selection in abbreviated form, without utilizing the more formal processes provided by HRSC-NW. If this method is used, the selecting official must evaluate each candidate equitably. Officials should identify on the RPA that this option was used and provide a copy of the evaluation documents to the local HRO. Documentation must include a list of all qualified candidates considered, the evaluation criteria upon which candidates were evaluated, and a brief justification of why the candidate was best qualified. Typically, HRSC-NW will notify the person selected. As no records are maintained at HRSC-NW for a MIC, management officials should notify candidates not selected for the promotion.

b. Vacancy Announcements

- 1) Announcements will briefly describe the duties and location of the position, identify the appropriate qualification standards, and proper filing procedures.
- 2) Open continuous announcements expedite the process, reducing the timeframes required in the job announcement and in gathering resumes.
- 3) Vacancy announcements may be published in a variety of formats such as:
 - Website: www.donhr.navy.mil : listing of all Department of Navy vacancy announcements.
 - Open Continuous Announcements
 - On-going
 - Utilizes Resume Builder.
 - Expedites hiring process.
 - Covers all grades and both non-supervisory and supervisory positions.

- Specific individual merit promotion announcement
- Notes in the Plan of the Day or command newspaper
- Internal Flyer
An organizational announcement that informs employees that a position is going to be filled. The flyer can also provide specific information about the job. These vacancies can also be listed in the Plan of the Week or Day, and in the Activity Newsletter.
- stand-alone Announcement
Used to fill unique or one-of-a-kind jobs. It generally results in a more lengthy process, and may or may not result in a better pool of candidates.
- Office of Personnel Management Federal Job Opportunities
HRSC, NW posts all open vacancies here. www.opm.gov

c. Area of Consideration

Indicated on each announcement. Resumes accepted receive consideration as vacancies occur based on the geographic preferences, skills, and other information identified by the applicant. Management specifies the area of consideration when a specific vacancy occurs. The area of consideration may be limited to the activity where the vacancy exists or a subdivision of activity, or may be expanded outside the activity. Regardless of the area of consideration, however, applications will additionally be accepted from spouses of relocating Department of Defense (DOD) personnel in accordance with DOD and Navy regulations concerning spousal employment. Supervisors, at their discretion, may elect to consider other non-competitive applicants from outside the area of consideration.

d. Acceptance of Resumes

- 1) The preferred method of resume submission is the resume builder on the DON website: www.donhr.navy.mil.
 - 2) Completed and dated resumes with applicable supplements must be on file at HRSC-NW no later than the close of business on the day specified on the vacancy announcement.
 - 3) If the announcement is a register, resumes must be received by the cut-off date of the selection certificate.
 - 4) Resume postmarked on the closing date of the announcement may be accepted if so stated on the vacancy announcement.
 - 5) Delayed resumes may be accepted from an employee who is on official travel or approved leave during the entire time a vacancy is announced. Such delayed resumes and documentation showing the approved absence must be filed within five calendar days after return from travel or leave, and will be considered if the selection list has not been referred to the selecting official. The selection list will not be held awaiting this documentation.
- 6) Resume Rejection By HRSC, NW**
Faxed or handwritten resume will not be accepted.

e. Non-consideration of Applications

Because applicants self-certify that the information provided on the resume is correct, the following may cause resumes to be not considered:

- **Incomplete Information**

Applicants who fail to provide sufficient information upon which to make determination.

- **False Information**

Applicants who submit applications containing false information.

- **Late Submission**

Applicants whose applications are received at HRSC-NW after the specific closing time/date.

f. Multiple Vacancies

More than one position may be filled from a vacancy announcement if additional vacancies occur.

g. Employee Responsibility

Employees (including those who have been demoted for reasons such as reduction-in-force or reclassification action) who wish to make themselves available for promotion or internal placement are responsible for applying for vacancies in accordance with the established procedures stated in the vacancy announcement. Employees are expected to keep informed of promotional opportunities.

h. Resume Builder— the primary method for submitting a resume

1) Applicants are strongly encouraged to visit the website at www.donhr.navy.mil and use the **RESUME BUILDER** to create a resume.

2) **“My Status”**

a) Selecting “My Status at www.donhr.navy.mil allows the applicant to receive updates on the status of their resume.

b) **Applicant Updates**

- View and update personal information such as phone number, e-mail address and mailing address
- Extend resume expiration date
- View the jobs that they have applied for
- View/update geographic location preference
- View current resume activity
- View and update Additional Data Sheet
- View my electronic notices

c) Status Categories

- Your resume has been sent to management for selection.
- Your resume is being reviewed for this position. Evaluation of candidates is still in progress. Please check back at a later date for an update of your status.
- Your resume has been rated ineligible or not qualified for this position for the following reason _____.
- Your resume is in our database but is not currently being considered for any position.
- You were rated qualified for this position. However, it has not been sent to management for selection consideration as management has not requested a list of qualified candidates since the date your resume was received.
- You were not rated for this position for the following reason
- You were determined qualified for this position, but are not among the best qualified candidates. Your resume was not referred to management for selection consideration as they only requested the best qualified candidates.

11. QUALIFICATION STANDARDS/REQUIREMENTS

- a. Each person considered must meet the authorized minimum qualification standards established by the OPM.
- b. Candidates for General Schedule supervisory positions must meet the abilities and personal attributes required in the supervisory standard in Part III, Operating Manual for Qualifications Standards for General Schedule Positions (formerly X-118).
- c. To receive consideration for a vacant position, an applicant must meet time-in-grade qualification and time-after-competitive-appointment requirements for the position by the time the selection certificate is issued. In no case will a selection be effective before these requirements are met.
- d. For open continuous announcements, the applicant must meet qualification requirements by the time the selection certificate is issued.
- e. Candidates who meet the standards including written and/or performance tests, if required, will be considered eligible for selection.

12. EVALUATION AND RANKING OF CANDIDATES

- a. The evaluation and ranking of candidates is conducted by HRSC-NW. The evaluation method used is the Standard Automated Inventory and Referral System (STAIRS). The evaluation method includes a job analysis to determine pertinent Knowledge, Skills, and Abilities (KSAs) required for the position.
- b. Candidates are referred to the selecting official who evaluates them for more specific job-related characteristics and makes a selection.

- c. Candidates eligible for **non-competitive selection** need not be ranked.
- d. **Rating Categories**
Promotional candidates are formally ranked as “Qualified” or “Best Qualified”.
 - **Qualified**
Meets the basic eligibility and qualification standards.
 - **Best Qualified**
Exceeds basic qualifications and is determined by comparing all eligible promotional candidates against the requirements of the specific position.

13. SELECTION PROCEDURES

a. Referral Certificates

Selecting officials are those supervisors delegated authority by the Activity Head to make selections for positions under their cognizance (see Appendix 5B). Candidates eligible for noncompetitive selection may be referred to the selecting official for consideration at any time. Management may also elect to consider such candidates along with promotional candidates in the competitive process. Candidates will be listed in alphabetical order in groups of qualified or best qualified. HRSC-NW is responsible for providing best qualified/qualified candidates to the selecting official in a timely manner. Selecting officials are responsible for making timely and considered selections.

b. Interviews

Personal interviews of referred candidates may be held at the selecting official's option. The selecting official may interview all, any, or none of the best qualified candidates. They may utilize an advisory selection panel, conduct personal interviews, designate a representative to interview, or select from the list of eligibles. For more information, see Appendix 5C Guide for Conducting Interviews.

c. Nepotism

A person with authority to take personnel management actions shall not select a relative for a position anywhere in the organization under his or her jurisdiction or control. They, or other public officials having the authority to appoint, employ, promote, or advance persons or to recommend this action, shall not advocate or recommend a relative for a position in the DOD.

d. Selection Panels

If a rating, interview, or advisory selection panel is used, there will be a designated person who represents the Commanding Officer to ensure equal employment opportunity policies are complied with in the rating and selection process. If an individual other than a subject matter expert is designated, the designee will serve as a non-voting member.

e. Selection

The selecting official is entitled to select any candidate certified or to non-select all candidates. Selecting officials, when filling a supervisory or managerial position, must consider the candidates' demonstrated support of the EEO program. Selecting officials must give consideration to the candidates' current performance appraisal, if available.

f. Release Dates

Employees selected for promotion will normally be released within two weeks after the selection is made. Release may be within 30 days for employees selected for reassignment or change to lower grade. Release dates in excess of these time frames are acceptable when mutually agreeable to both the gaining and losing organization.

g. Records

The merit promotion records are maintained by HRSC-NW as required by applicable rules and regulations. Supervisors must maintain any documentation used in the selection process.

14. INFORMATION TO EMPLOYEES

Applicants are entitled to the following information by contacting HRSC-NW:

- Whether or not they were found to be qualified.
- Whether or not they were in the group from which selection was made.
- Who was selected.
- The evaluation factors (knowledge, skills and abilities needed for successful performance in the position) used.
- Their personal ratings/scores on the evaluation factors. Names of other candidates may not be disclosed.

ALTERNATIVE RECRUITMENT METHODS

1. PURPOSE

In addition to activity merit promotion announcements, managers may request alternative recruitment methods. Managers must submit an RPA to recruit from any source. The “Quick Reference Guide for Hiring Civilian Employees” at www.donhr.navy.mil gives the list of these methods. For more information on these and other sources, contact the HRO or HRSC-NW.

2. DEFINITIONS

DELEGATED EXAMINING AUTHORITY

Authority delegated to the HRSC-NW to issue an announcement open to the general public.

DISABLED VETERANS

Veterans who have a current notice of a service connected compensable disability of 30% or more from the VA.

FORMER OVERSEAS EMPLOYEES

Appointments that can be made to eligible employees returning to CONUS.

INTERCHANGE AGREEMENTS

Allows certain employees of one system to move to another (e.g., DOD Non-Appropriated Fund to Appropriated Fund).

OPM REGISTERS

Vacancy announcements issued by OPM that are open to the general public (OPM charges a fee for this service and the hiring activity provides the funding).

REINSTATEMENT ELIGIBLES

Former federal employees who may be hired based on a previous permanent appointment.

SEVERELY PHYSICALLY HANDICAPPED AND MENTALLY RETARDED

Facilitates the hiring of individuals who are severely physically handicapped or mentally retarded.

STUDENT EDUCATIONAL EMPLOYMENT PROGRAM

Student program where the student attends school and works when not in school. May be temporary (STEP) or permanent (SCEP).

TEMPORARY APPOINTMENT AUTHORITY

Appointments made to fill short-term position not expected to continue beyond a second year.

TERM APPOINTMENT

An appointment for up to four years.

VETERAN'S EMPLOYMENT OPPORTUNITY ACT (VEOA)

An authority to appoint a veteran who may not otherwise be eligible for other appointments.

VETERAN'S READJUSTMENT APPOINTMENT (VRA)

An authority to hire Vietnam era and certain post-Vietnam era veterans.

WORKER TRAINEE PROGRAM

Allows individuals (GS-1, WG-1 or 2) and opportunity to learn skills and good work habits. Initially temporary but may be made permanent after three years.

DETAILS

1. PURPOSE

Intended to meet short term or emergent needs or to document a new assignment pending an official personnel action. Typical examples of detail situations are:

- Pending classification of a new set of duties.
- Pending security clearance investigation results.
- To replace an employee on leave or temporary travel.
- For training required as a result of a new mission, new organization, or new equipment.
- To complete an unexpected temporary project.
- To handle abnormal workflow.

2. DEFINITIONS

DETAIL

Temporary assignment of an employee to a different position or set of duties for a specified period of time, with a legal requirement to return the employee to the position from which detailed. Time is counted in calendar days. There is no change in pay during a detail regardless of length. An employee does not have to meet the OPM qualifications and eligibility requirements to be assigned to a detail.

3. TYPES

- Details may be made to established positions at the same grade, a higher grade, or a lower grade.
- Details may also sometimes be made to unclassified duties.

4. DOCUMENTATION REQUIREMENTS

- a. Documentation requirements for a detail vary, depending upon the length of time and the level of work to which an employee is detailed.
- b. An RPA is required for details to positions for a period of 31–120 days.
- c. When documentation is required, an RPA must contain the following data:
 - Reason for the detail, and the effective date.
 - Anticipated termination date.
 - If to an established position, the position number and the organizational location.
 - If to unclassified duties, a brief statement of the duties to be performed.



5. TIME LIMITS ON DETAILS

Details are made in increments of 120 days and may be extended up to a maximum of one year. In an organization undergoing a contracting out study, details may be made in increments of 120 days up to a maximum of two years. Selections for detail assignments to higher level positions for more than 120 days must be done competitively under the merit staffing procedures (see section on Merit Promotion Plan in this chapter).

6. TERMINATION PRIOR TO THE EFFECTIVE DATE

- a. Any detail may be terminated at any time prior to the scheduled termination date at the discretion of management.
- b. To terminate a detail, an RPA must be prepared and include the following:
 - The position description number of the position from which the detail is being terminated.
 - The position description number to which the employee is being returned.
 - The date the detail is to be terminated.

7. TERMINATION ON THE EFFECTIVE DATE

Unless HRSC-NW receives a request for early termination, all details end on the specified termination date. No RPA is required.

8. PROCEDURE TO FOLLOW TO EXTEND A DETAIL

The extension should be requested via a completed RPA three weeks in advance of the date the detail is scheduled to end.

9. RELATIONSHIP OF DETAILS TO PERFORMANCE APPRAISAL PROCESS

Details for more than 120 days represent an assignment, which becomes subject to the performance appraisal process. In these cases, a performance plan must be given to and discussed with the employee within 30 calendar days after the beginning date of a detail. Performance during this period should be given due weight in assigning a yearly performance rating.

TEMPORARY PROMOTIONS

1. DEFINITIONS

TEMPORARY PROMOTIONS

- Those promotions made to fill a short-term need or requirement not expected to last longer than one (1) year. These promotions can be extended up to two years.
- A change of an employee to a position at a higher pay level for a specified period of time. Unlike a detail, the employee must meet OPM qualification and eligibility requirements for the higher level position.

TERM PROMOTIONS

Those promotions expected to last for a period of more than one year but not more than five years; e.g. project work, extraordinary workload, reorganization, contracting out of the function, uncertainty of future funding.

2. INFORMATION

- a. Temporary promotions for 120 days or less may be made non-competitively.
- b. Temporary promotions, which will exceed 120 days, must be made competitively.
- c. An employee selected for temporary promotion must be informed in advance of the circumstances that make a temporary promotion rather than a permanent promotion appropriate.
- d. A temporary promotion may be made permanent provided it was originally made under competitive procedures (e.g. merit promotion) and the competitive announcement specified that it might lead to a permanent promotion.

3. PROCEDURES

a. Request for Temporary Promotions

Submit an RPA to request a temporary promotion. If the promotion is for 120 days or less and is to be made by noncompetitive means, specify the name of the employee to be promoted on the RPA. If the promotion is to be made by competitive means, indicate that it is recruitment for temporary promotion or a term promotion with justification of the reason that necessitates the action.

b. Requests for Extensions of Temporary Promotions

Submit an RPA to request an extension of a temporary promotion at least three weeks before the initial temporary promotion expires.

c. Termination of Temporary Promotions

No documents are required to terminate a temporary promotion on the scheduled expiration date; it will be done automatically. If a temporary promotion is to be terminated before the scheduled date, submit an RPA

4. RELATIONSHIP OF TEMPORARY PROMOTION TO PERFORMANCE RATINGS

Temporary promotions in excess of 120 days should be considered in an employee's annual performance evaluation. In such cases, a performance plan should be given to and discussed with the employee within 30 calendar days after the beginning date of the temporary promotion. The supervisor may rate the employee at the conclusion of the promotion or at the end of the rating cycle provided the employee has been under the performance plan for at least 90 calendar days (see Chapter 10 Performance Management).

TIME-IN-GRADE REQUIREMENTS

1. PURPOSE

The Time-In-Grade (TIG) requirement dictates that, for most General Schedule (GS) positions, an employee must have spent 52 weeks in the next lower grade or grade interval in order to be eligible for promotion. This is in addition to the experience requirement for any given promotion. The most notable exceptions to this are positions below GS-5 and those on non-permanent appointments. This TIG restriction is intended to prevent excessively rapid promotions, provide budgetary control on promotion rates and protect competitive principles.

- The following TIG restrictions must be met (unless advancement is permitted by any of the exclusions listed above).

3. DEFINITIONS

ADVANCEMENT

A position change to a higher grade or to a higher rate of basic pay. A within-grade increase is not considered advancement.

ONE-GRADE INTERVAL SERIES POSITIONS

Limit advancement progression to one grade above the current grade (GS5 to 6; GS-6 to 7, etc.). Clerical, assistant and technical positions are characteristic of one-grade interval positions.

PERMANENT APPOINTMENT

An appointment that is not limited in time (i.e., does not have a specific not-to-exceed date).

TWO-GRADE INTERVAL SERIES POSITIONS

Limit advancement progression to two-grade increments above the current grade between the GS-5 and GS-11 levels, (GS-5 to 7, GS-7 to 9, etc.). Progression is in the odd numbered grades from GS-5 upward. Specialist and professional positions are characteristic of two-grade interval positions.

4. TIME IN GRADE RESTRICTIONS

TIME IN GRADE RESTRICTIONS	
ADVANCED POSITION	REQUIREMENTS
GS-12 and above	Candidates must have completed a minimum of 52 weeks in positions no more than one grade lower (or equivalent) than the position to be filled.
GS-5 through GS-11 Classification at Two-Grade Intervals (e.g., GS-5, GS-7, GS-9, and GS-11)	Candidates must have completed a minimum 52 weeks in position no more than two grades lower (or equivalent). (Specialist and professional positions are characteristic of two-grade interval positions)
GS-5 through GS-11 Classification at One-Grade Intervals (e.g., GS-5, GS-6, GS7)	Candidates must have completed a minimum 52 weeks in position no more than one grade lower (or equivalent). (Clerical, assistant and technician positions are characteristic of one-grade interval positions)
Up to GS-5	Candidates may be advanced without time restrictions if the position to be filled is no more than two grades above the lowest grade the employee held within the preceding 52 weeks under his/her latest non-temporary competitive appointment.

TIME AFTER COMPETITIVE APPOINTMENT LIMITATIONS

1. LIMITATIONS

Employees hired through competitive appointment procedures (competing with the general public as opposed to federal employees competing through Merit Promotion procedures) must wait 90 days before they are eligible for the following actions:

- Promotion (permanent or temporary).
- Transfer, reinstatement, or detail to a higher grade.
- Transfer, reinstatement, reassignment, or detail to a different line of work, or different geographical area.

2. EXCEPTIONS TO 90-DAY RESTRICTION

- A subsequent competitive appointment of an employee within reach on a direct hire or OPM certificate of eligible candidates.
- Details to facilitate the placement of an injured employee.
- Emergency details of 30 days or less.
- Noncompetitive appointments, e.g., Veteran's Readjustment Appointments, reassignments, disabled veterans, and appointments of persons of disability.

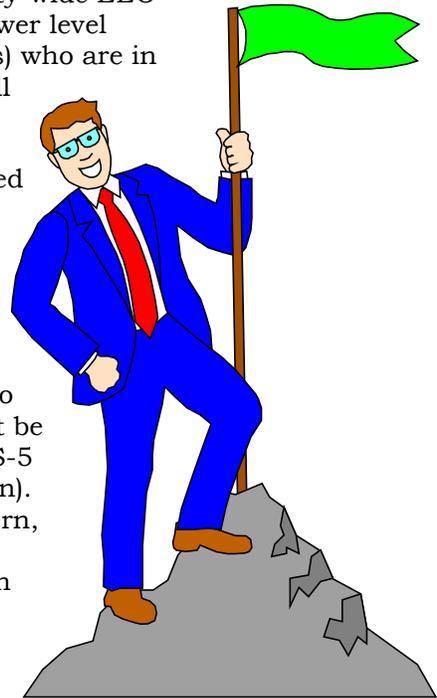
UPWARD MOBILITY PROGRAM

1. PURPOSE

It is the policy of the activity to encourage and assist civilian employees in seeking to achieve their highest potential and productivity as employees of the Navy. Toward this end, supervisors will endeavor to establish Upward Mobility positions to provide opportunities for employees in lower level positions with limited career potential to positions with recognized career ladders.

2. BACKGROUND

- a. **Upward Mobility** is an integral part of the activity's Equal Employment Opportunity (EEO) Affirmative Action Program and supports activity-wide EEO efforts by providing developmental opportunities to lower level employees (GS-9 and below and equivalent wage rates) who are in positions which do not enable them to realize their full work potential.
- b. Activities with 100 or more U.S. employees are required by regulation to establish upward mobility program using the Navy-Wide Training Agreement. Activities are not precluded; however, from using other approaches such as those listed below, in addition to the Agreement to accomplish their objectives.
- c. Training and development efforts primarily designed to improve current occupational performance should not be regarded as upward mobility (i.e., training which a GS-5 technician might receive for a GS-6 technician position). Likewise, progression (after entry) within a career intern, cooperative education, or apprentice program is not considered upward mobility, nor is movement between comparable career fields under a management development agreement.



3. DEFINITIONS

CREDITING PLAN

A rating guide developed to evaluate or rank eligible candidates against the Knowledge, Skills, and Abilities (KSAs) listed in the vacancy announcement.

EQUIVALENT WAGE RATES

Federal Wage System (FWS) employees who occupy positions having representative rates equivalent to General Schedule (GS) levels. The representative rates are step 4 of the GS pay scale and step 2 of the FWS pay scale.

JOB ANALYSIS

The process of systematically collecting, processing, analyzing and interpreting information about a specific position or group of like positions to provide a job-related basis for evaluation and selection.

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Placement of employees in positions at a higher grade level, or with promotion potential to a higher grade level than that currently held based on a selecting official's assessment of appropriate KSAs.

POTENTIAL

Under Navy's Upward Mobility Training Agreement, potential is defined as the ability (including the desire) to acquire and use knowledge and skills needed to successfully perform higher-level work, specifically in those kinds of occupations and at grade levels which could or would be targets for upwardly mobile employees.

TARGET POSITIONS

Positions which employees selected for upward mobility assignments will be trained to perform.

TRAINEE POSITIONS

Duties employees will perform while training for the target position. Involve a well-defined training program of a definite duration and the performance of assigned tasks under close guidance and instruction with promotion or reassignment to a target position upon satisfactory completion of the training record.

4. RESPONSIBILITIES

a. HRO

- Administer the Upward Mobility program.
- Advising on the selection process to ensure compliance with upward mobility and merit promotion procedures, including approving job elements and crediting plans, determining eligibility and certifying applicants for selection.
- Advising program participants and supervisors in the development of the individualized Upward Mobility Training Plan and monitoring the completion of on-the-job and required training.
- Advising managers about restructuring positions and establishing bridge, trainee, and target positions.
- Providing career counseling to supervisors and to trainees.



b. Activity Head

- Allocate sufficient financial and personnel resources to develop and carry out the program.
- Set goals for the establishment of target positions to be filled through the Upward Mobility Program as an integral part of the activity's affirmative action plan.

5. PROGRAM PROVISION REQUIREMENTS

- Competition is limited to Navy employees
- Competition permits entry of lower level employees into new career fields
- A formal developmental program or plan is established
- Target positions are set at various grade levels.

6. UPWARD MOBILITY PROGRAM APPROACHES

a. Navy Upward Mobility Training Agreement

Allows a waiver of formal qualification requirements for entry into trainee positions. (The qualification requirements for the target position will be met by substituting the satisfactory completion of accelerated training on the basis of one month of training for two months of experience.) While merit principles apply, evaluation and selection of the candidates are made on the basis of an assessment of potential to perform duties of the target position. (See Appendix 5D for more information.)

b. Job Restructuring to Establish Bridge Positions

- 1) This method, used in conjunction with position management, requires setting up a different structure of positions to accomplish the work of the unit. To do this, lower level work is extracted from the specialist (or full-performance level) positions and used to establish technician (or sub-journeymen) support positions at a lower grade level. This type of position is called a bridge position and is a continuing position as opposed to the trainee position, which disappears upon movement into the target position using the training agreement. The experience gained in this position will bridge the gap between lower level positions and the entry-level positions in career fields offering greater growth potential. The experience gained in bridge positions is qualifying experience for entry into the higher-level career field.
- 2) This approach may be used in conjunction with the Navy Upward Mobility Training Agreement or may be used alone as an upward mobility opportunity using the usual merit promotion procedures requiring evaluations and selections based on meeting the requirements of the Operating Manual for Qualification Standards for General Schedule Positions or OPM Handbook, Job Qualification System for Trade, and Labor Occupations.

c. Entry Level Positions

Positions targeted for the full performance level may be filled at the entry level of a career ladder with a formal developmental program having formal academic course and/or on-the-job training which are designed to advance the employees to the full performance level. Use of this method normally precludes the necessity of having specialized experience in the career field.

d. This method is considered Upward Mobility when:

- The position is filled through merit promotion procedures;
- The area of consideration is limited to on-board Navy employees; and
- A formal training plan for the positions in the career ladder is established.

e. Establishment of Target Positions at Various Grade Levels

- Target positions may be established at various grade levels and occupations to assure adequate opportunities for all employees at or below GS-9 and equivalent wage rate positions to enable them to move into new occupations offering career progression.

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- Since there are normally several grades in a career ladder, by utilizing this method the activity is free to choose the appropriate grade level to meet upward mobility objectives and to reach targeted employees.
- Example: Determining the grade level of the employees to whom the Upward Mobility announcement is to be directed and then establishing the trainee position grade level accordingly with non-competitive promotion potential to the target position grade level.

7. UPWARD MOBILITY PROGRAM REQUIREMENTS

- Competition is limited to Navy employees.
- Competition permits entry of lower level employees into new career fields.
- A formal developmental program or plan is established.
- Target positions are set at various grade levels.

8. UPWARD MOBILITY AND COST EFFECTIVENESS

- Identifies and develops human resources within the organization
- Reduce costs of hiring and placing new employees (special recruitment efforts, security clearances, administrative in-processing, orientation, initial training, etc.) by developing present employees to meet personnel needs.
- Reduce salary costs by lowering the average grade through job restructuring.
- Avoid “down time” caused by vacated positions by filling positions more rapidly.
- Reduce high turnover, absenteeism, and work dissatisfaction by providing expanded career goals for employees with potential.

RETURN RIGHTS UPON COMPLETION OF OVERSEAS ASSIGNMENT

1. PURPOSE

Career and career-conditional employees serving in competitive positions who are assigned to Navy duty stations located outside of the United States are granted return rights under Public Law.

2. EMPLOYEES NOT AUTHORIZED RETURN RIGHTS



- a. Employees selected for assignment to Hawaii.
- b. Employees selected for an overseas assignment with another DOD component when the releasing activity has not agreed, in writing, to grant return rights in advance of the assignment.
- c. Employees hired locally in the overseas area.
- d. Employees in a formal mobility program.
- e. Employees selected for an overseas tour after:
 - Receipt of a notice of involuntary separation, including a general notice of a RIF.
 - Non-reply to, or a declination of, a transfer of function notice.
 - Public announcement of the closing of the activity where employed.
 - Voluntarily transferring to, and being employed by, a non-DOD federal agency overseas.
 - Submitting a resignation.
 - Receipt of an unresolved written notice of proposed adverse action.

3. DURATION AND EXTENSION OF RETURN RIGHTS

Return rights are initially granted for the duration of one tour of duty overseas (one to three years) and may be extended by the overseas activity for a total period of five years.

4. IDENTIFICATION, DOCUMENTATION AND FILLING OF THE VACANT POSITION

a. Identification and Notification Requirements

HRSC-NW will maintain a list of overseas individuals, which contains the employee's name, title/pay plan/series/grade, overseas duty station, effective date, and return date. A copy of this list will be provided monthly to HRO. HRO will notify HRSC-NW of changes to overseas return rights. HRSC-NW will keep overseas employees informed in writing, via overseas activities, of any changes impacting on their return rights, within 90 calendar days of the effective date of those changes.

b. Filling Vacated Position

Any type of appointment may fill the vacated position. HRSC-NW (or activity) will notify the employee who fills the vacated position, in writing, that another employee has return rights to the position and of their placement rights should the employee return.

5. EMPLOYEE REQUIREMENT FOR EXERCISING RETURN RIGHTS

a. Return

Employees must notify their activity in writing, via the overseas activity, of their intent to exercise return rights at least 120 calendar days before completion of the overseas tour.

b. Satisfactorily Complete the Overseas Tour

An employee must have successfully performed the duties of the position for the prescribed length of the overseas tour as a precondition to exercising return rights.

6. ENTITLEMENT ON EXERCISE OF RETURN RIGHTS

a. Order of Placement

An employee's return rights are to a position in the same geographical area, with rights, benefits, and grade (or pay level), equal to the position they left, in the following order:

1) The Position Last Held Prior to the Employee's Assignment Overseas

- a) If the position has been affected by a classification action resulting in a change of series or grade level, (whether an upgrading or downgrading action), the employee's return rights are to that position.
 - b) The employee may be offered a vacant position, at the same grade, for which qualified. The employee may accept the offer in writing or by message or decline the offer and retain rights to the original position.
 - c) A position may not be cancelled and a new position classified to avoid return rights entitlement. If the position is cancelled, return rights will be to the first new position created in the same series and grade (or equivalent) as that to which the employee had return rights.
- 2) **The former position does not exist or is at a lower grade or pay**
The employee is entitled to a vacant position for which qualified, at the same grade level as the former position.
- 3) If a placement cannot be made as indicated above, a temporary position must be established for at least 90 calendar days. The employee is temporarily placed in that position and if the employee cannot be placed into a permanent position within this 90-day period, the employee is subject to RIF procedures.
- 4) When there are multiple return rights claims to the same position, the employee who first held the position is given entitlement rights.

b. Transfer of Function

When the position to which the employee has return rights is transferred to another department, code or activity, the employee's reemployment rights transfer to that position.

c. Displacement Action

When an employee exercises return rights to the former position by displacing another employee, RIF procedures may be necessary to determine the assignment right of the displaced employee. The returning employee does not compete for placement under this RIF.

7. RIGHTS OF DISPLACED EMPLOYEES

An employee displaced from a position by an employee exercising return rights is entitled, as of the date of such displacement, to be placed in a vacant continuing position for which qualified, with the same rights, benefits, and grade (or pay level), status and tenure, and in the same commuting area, as that from which displaced. If the employee cannot be placed, the employee may be reassigned, changed to lower grade or separated using RIF procedures. Placement efforts will, at a minimum, include written requests to all DOD activities within the geographic area for placement assistance. If a change to lower grade is involved, grade and pay retention may be warranted.

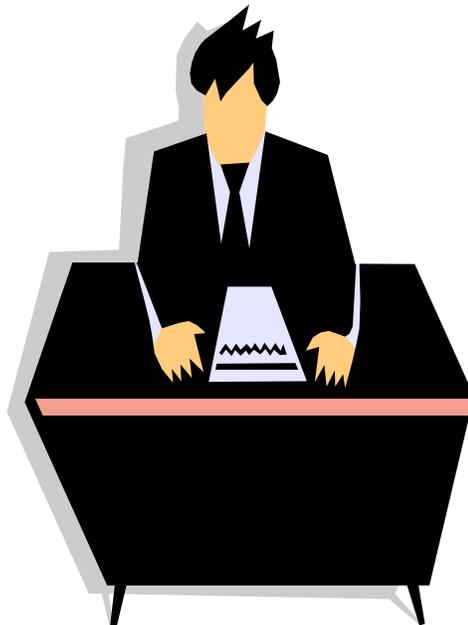
EMPLOYMENT RECORDS

1. INFORMATION

- a. An Official Personnel Folder (OPF) is established and maintained by HRSC-NW for each federal civilian employee. This record contains only information directly related to an employee's federal employment and benefits.
- b. Records of individuals transferring to another activity or federal agency are forwarded to servicing HRSC-NW. Records for employees who leave federal service are forwarded to the Federal Records Center located in St. Louis, Missouri. The OPF is the property of OPM, which strictly controls the content and care while it is in the custody of the employing agency.
- c. In addition to the OPF, an Employee Performance Folder (EPF) is maintained containing information related to annual performance appraisals. The EPF is filed with the OPF at HRSC-NW.
- d. Employees should keep copies of records related to their federal employment. Records include Notification of Personnel Action (RPA) forms, performance ratings, leave and earnings statements, insurance registrations, beneficiary designations, and Notice of Injury CA-1 or CA-2 forms.

2. ACCESS

Employees may review their OPF by contacting HRO. HRO will obtain the folder from HRSC-NW and contact the employee setting up a time and place for review. The folder must remain in the physical custody and control of an authorized Human Resources personnel representative. An employee must obtain permission to leave work from their supervisor prior to leaving the work site for the scheduled review. Access to an employee's record by others (e.g., a personal representative, security manager, supervisor, or Naval Investigative Service agent) is limited to an official need-to-know basis.



MODERN DEFENSE CIVILIAN PERSONNEL DATA SYSTEM (MDCPDS)

1. The Modern Defense Civilian Personnel Data System (MDCPDS) is the automated personnel system for DOD components operating HROs as well as HRSC-NW. MDCPDS is designed to improve the accuracy and response time of civilian personnel information required for personnel management at activity and headquarters levels and provide a single uniform system DOD-wide. MDCPDS provides immediate access for civilian personnel data update and inquiry, documents personnel actions immediately, and establishes and maintains historical data used for planning, analysis and reporting.
2. A variety of forms and reports are produced using data maintained in MDCPDS. An example is the Notification of Personnel Action (SF 50). Examples of information that may be useful are: alphabetical listing of employees, listing of employees in organization order, list of employees due WGIs in current fiscal year, employees who received awards the previous year, etc. Information can be retrieved in many sequences and formats based on the needs of the requestor. Managers, supervisors and Administrative Officers may request MDCPDS reports from HRSC-NW. In addition to hard copy reports, data from MDCPDS can be provided on diskette or electronic file for upload into local databases. All information provided from MDCPDS is subject to the provisions of the Privacy Act.
3. SF 50's and workload "status" reports may be accessed via the web using WEBCOG accessed through the Department of the Navy Human Resources website <http://webcog.nw.hroc.navy.mil>. This website requires a password to access reports. Consult with your HRO to have an account established.



**APPENDIX 5A
RECRUIT/FILL REQUEST FORM
HRSC-NW**

Complete the request and attach it to your Request for Personnel Action This information is essential to proceed with your Recruit If you need assistance please contact your HRO Advisor
If you do not wish to complete this form, you may provide the information requested below on your RPA

REQUEST FOR PERSONNEL ACTION:	
RPA Number(s)	
RECRUIT POINT OF CONTACT INFORMATION:	
Name:	Phone:
e-mail:	FAX:
RECRUITMENT INFORMATION:	
Recruitment Information:	Position Title: PP/Series/Grade: PD Number(s): No. Vacancies: Grade Level(s) to recruit at: Activity: Position Location(s): UIC: Org Code: Cost Center: Appointment Type: Perm <input type="checkbox"/> Temp NTE <input type="checkbox"/> Term NTE <input type="checkbox"/> Work Schedule: FT <input type="checkbox"/> PT <input type="checkbox"/> Seasonal <input type="checkbox"/> Intermittent <input type="checkbox"/> Recruitment Flyer issued by Activity: Yes <input type="checkbox"/> If Yes, Closing Date: No <input type="checkbox"/>
Special Considerations	Certification/Licensing Required: <input type="checkbox"/> No <input type="checkbox"/> Yes If yes, specify:
Recruitment Source Mark X if applicable:	Activity(s) Only: <input type="checkbox"/> Current DON: <input type="checkbox"/> Current DOD: <input type="checkbox"/> Current Federal: <input type="checkbox"/> Former Federal: <input type="checkbox"/> Veterans: <input type="checkbox"/> Any U.S. Citizen: <input type="checkbox"/> Persons with Disabilities <input type="checkbox"/> Potential Candidate Name(s):
Recruitment Incentive:	Authorized: No <input type="checkbox"/> Yes: <input type="checkbox"/> If Yes, Type of Recruitment Incentive: <i>(HPR, Relocation Bonus, PCS, etc.)</i>
Additional Information: <i>(Optional)</i>	
Mark X next to	Re-promotion List <input type="checkbox"/> Re-employment Priority List <input type="checkbox"/> Priority Consideration List <input type="checkbox"/>
Placement Programs Cleared <i>(HRO USE ONLY)</i>	<u>PPP Information:</u> Option Code(s): 1. 2. Activity Code: Remote Activity: PPP Exception: No <input type="checkbox"/> Yes <input type="checkbox"/> If Yes, please specify reference

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APPENDIX 5B APPOINTMENT AUTHORITY DELEGATION

SELECTING AUTHORITY. The authority to make selections for positions is delegated as indicated below. This authority may be re-delegated as deemed appropriate by the activity.

SUBASE HRO SERVICED ACTIVITIES	AUTHORITY
Naval Brig/CCU Puget Sound	<ul style="list-style-type: none"> • Subbase Commanding Officer • Executive Officer • Officer in Charge
EFA-NW	<ul style="list-style-type: none"> • Commanding Officer • Executive Officer • Department Heads
NAVMAG Indian Island	Department Head
SUBGROUP 9	Commanding Officer
DVECC	Officer in Charge
NAVSEALOG	Commanding Officer
SUBASE Bangor	<ul style="list-style-type: none"> • Commanding Officer • Executive Officer
NAVCOMTELSTA Puget Sound	Commanding Officer
COMNAVREG NW	<ul style="list-style-type: none"> • Chief of Staff • Assistant Chief of Staff • Program Managers
TTF Bangor	<ul style="list-style-type: none"> • Department Heads • Administrative Officer
NEPTPSMA Bangor	Activity Headquarters

NAVIMFPAC HRO SERVICED ACTIVITIES	AUTHORITY
NAVIMFAC	Department and Staff Heads
SWFPAC	Department and Staff Heads

FISC HRO SERVICED ACTIVITIES	AUTHORITY
FISC Puget Sound	Department and Staff Heads
Dental Clinic Bremerton	<ul style="list-style-type: none"> • Commanding Officer • Supervisors
Naval Hospital, Bremerton	Department and Staff Heads
Naval Station, Bremerton	Department and Staff Heads

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EVERETT HRO SERVICED ACTIVITIES	AUTHORITY
NAVSTA Everett	Department Heads
NLSO Bremerton, Silverdale, Whidbey, Everett	Commanding Officer
TSO Bremerton, Everett	Commanding Officer
Naval Surface Group PNW	Department Heads
Afloat Training Group, PNW	Department Heads
NROTC UW Seattle	Commanding Officer
NROTC UC Berkeley	Commanding Officer
NAVMTO Travis AFB	Commanding Officer
DNSCMA Vallejo	Commanding Officer
REDCOM 22, Everett	Department Heads
Naval Radio Station, Jim Creek	Commanding Officer (NAVCOMTELSTA Puget Sound)

WHIDBEY ISLAND HRO SERVICED ACTIVITIES	AUTHORITY
NAS Whidbey	Department and Staff Heads
NAVAIRES Whidbey	Department Heads
NAVHOSP Oak Harbor	Department Heads
FASOTRAGRUPAC Whidbey	Officer in Charge
NAVFAC Whidbey	Department Heads
COMVAQWINGPAC Whidbey	Department Heads
Dental Clinic Whidbey	Officer in Charge
COMPATWG10 Whidbey	On-Site Foreman
NAVMETOCDET Whidbey	Officer in Charge
Fleet Imaging Center, Pacific	Officer in Charge
NOPF Whidbey	<ul style="list-style-type: none"> • Officer in Charge • Department and Staff Heads
NAVCOMTELSTA Puget Sound	Commanding Officer

NAVSHIPYD PUGET HRO SERVICED ACTIVITIES	AUTHORITY
NAVSHIPYD Puget	Department Heads
SUPSHIP Puget Sound	Department Heads

NUWC KEYPORT HRO SERVICED ACTIVITIES	AUTHORITY
NUWC Keyport	Department Heads

APPENDIX 5C GUIDE FOR CONDUCTING INTERVIEWS

1. PURPOSE

Hiring the right employee can be the most important decision a supervisor will ever make. An employee who is a good match for the job can have a far-reaching impact on the organization. To the contrary, a poor job match can lead to substandard production, conflict, loss of production time, stress, or morale problems. An interview is an opportunity to do your research before investing in an employee. Interviews are not mandatory, and should never be used as the sole determination for selection.

2. INTERVIEW BENEFITS

- a. Clarifies work history on the resume.
- b. Fills in the employment gaps that may exist.
- c. Probes the reasons for separations from previous employment.
- d. Assesses organizational and communication skills by the candidates' responses to questions.
- e. Assesses personality, style, attitude, and other intangibles, which would be assets in the position being filled.
- f. Ascertain whether candidates have limitations, which may preclude performance of the full range of duties of the position, and providing an opportunity for the candidate to articulate accommodations, which would make them more successful in the position.

3. WHO MAY BE INTERVIEWED

Rules on who may be interviewed vary depending on the type of certificate of eligible/recruitment source. Managers may choose to recruit for their positions using either competitive (Merit Promotion) or noncompetitive means (Applicant Referral System, Veteran's Readjustment Appointments, etc.). Activities may specify more stringent requirements. The selecting official has the option of interviewing all, any, or none of the candidates referred. **Contact HRO** for information regarding any interview restrictions for your activity.



4. STEPS IN THE INTERVIEW PROCESS

a. Prepare for the Interview

Review all available position and applicant information, such as the following:

- Position Description
- Job Qualifications (X-118)
- Crediting Plan
- Job Announcement
- Resume and supplemental information (performance ratings, job elements, etc.)

b. Develop questions

- 1) Selecting officials **may not** ask questions which refer to **anything unrelated to the position** e.g. race sex, age, handicapping condition, religion, union affiliation, political affiliation, national origin, marital status, children, child care, plans for having children, spouse's occupation, spouse's next tour of duty.

2) Interview Questions Characteristics

- Relevant and job related
 - Clear and understandable
 - Open ended (Do not use "Yes/No" questions)
 - Non-leading
- 3) Sample interview questions are listed in Appendix 5E.

c. Develop Evaluation Criteria

To ensure objective evaluation of candidates, the selecting official should develop evaluation criteria based on the KSAs needed to perform the major duties of the position. The criteria may include predetermined sample answers or characteristics to which responses are rated.

d. Schedule Interviews

The location of the interview should be informal, non-threatening and private. The interview should be scheduled to allow enough time to conduct the interview and to review the candidate's information as necessary. The selecting official or HRO should set up the interview, providing the candidates with the date, time and location of the interview, the interviewing official's name, the position being interviewed for, and any Pass and ID requirements. Arrangements for base access should be made in advance, if applicable.

e. Conduct Interviews

Put the candidate at ease and attempt to establish good rapport. Ask questions that the candidate can clearly understand and allow them plenty of time to answer. Plan for a time during the interview when the candidate can ask pertinent questions about the job. Appear interested and be attentive to the candidate and his/her responses taking notes as necessary. **Remember to be consistent and ask the same questions to all candidates.** It is permissible to ask follow-up questions in order to pull out specific information needed for the selection decision. **Do not** make commitments regarding pay, promotions, or work assignments that you or your successor may be unable or unwilling to fulfill.

f. Evaluate the Candidates and Make Selection

All relevant information should be used in evaluating the candidates and making a selection decision. Examine your own biases, pre-judgements, and stereotypes and keep them out of your decision making process. The supervisor or HRO should retain all notes and evaluation criteria/forms in the event the selection decision is challenged. NOTE: You must be able to clearly articulate a credible reason for your selection. Subjective criteria (such as initiative, potential, dependability, job attitude) are legitimate considerations provided there is something tangible which allows you to draw reasonable conclusions about the candidates.

5. PANEL INTERVIEWS

a. Panel Purpose

A panel interview is conducted by a group of subject matter experts for the purpose of evaluating candidates for selection. Panels are normally used for sensitive positions (i.e., command importance, grade level, supervisory duties, etc.). Many activities have specific panel restrictions and requirements. **Contact HRO** for specific information regarding panel interviews for your activity.



b. Panel Membership

Panel members are normally appointed by the Selecting Official and should include subject matter experts (voting members). HRO should be consulted for guidance on conducting interviews. A member of the panel should be identified as the EEO representation. Voting members of the panel should be at or above the grade level of the vacancy being interviewed for.

**APPENDIX 5D
UPWARD MOBILITY SELECTION
AND TRAINING PROCEDURES UNDER
THE NAVY UPWARD MOBILITY TRAINING AGREEMENT**

1. PURPOSE

These procedures describe the requirements for selecting, placing and training employees under the navy's upward mobility training agreement and do not apply to all positions filled under the upward mobility program.

2. ESTABLISHMENT OF POSITIONS

a. Target Position

The target position must be established prior to and published in the Upward Mobility vacancy announcement. Target positions may be established for non-supervisory positions at grades GS-4 through GS-9 and equivalent wage rates.

b. Trainee Position

- 1) The trainee position will be established at the same grade or the next appropriate lower grade level to the target position.
- 2) Only one promotion is permitted to reach the target position from the trainee position if the target position is above grade GS-5 and equivalent wage rates.
- 3) If the target position is at or below grade GS-5 and equivalent wage rates, two promotions are permitted to reach the target position. The trainee position is considered to be a developmental position.
- 4) In lieu of a full position description, the following documentation will be used:
 - **Optional Form 8 (Position Description Cover Sheet)**
The Remarks section should contain the following:
 - “Upward Mobility Trainee Position”
 - The number of the position description for the target position
 - The projected progression to the target position, if more than one promotion is involved.
 - **A copy of the classified position description for the target position.**
 - **A copy of the Upward Mobility Training Plan**
Must be approved within 30 days after assignment to the position.

3. SELECTION OF TRAINEES

a. Eligibility

Selection for positions under this agreement will be made from among the following:

- 1) Navy employees who are currently serving in grades GS-9 and below and equivalent wage rates, and who are serving under career or career conditional appointments.
- 2) Veterans Readjustment (VRA) appointees.
- 3) Navy employees who are currently serving in excepted positions under the special appointing authority for the severely handicapped. These candidates will be referred to selecting officials on a separate listing using merit staffing procedures. If selected, re-certification by a vocational rehabilitation counselor may be required before reassignment if the physical requirements of the trainee and/or the target position are substantially different from those of the current position.
- 4) Candidates must be in the area of consideration for any specific Upward Mobility vacancy announcement.

b. Qualification Standard

Candidates selected for training under this Agreement need not meet the requirements established in the OPM qualification guidelines for the target position at the time of selection, but they must satisfy the qualification requirements, including minimum education, before being placed in the target position.

- c. **Evaluation methods** will follow the activity merit staffing procedures with the following additions:

1) Candidate Assessment

- Focuses on their potential to succeed after completion of the training program rather than formal, established qualifications of the target position.
- The basis of the assessment will be a job analysis of the target position.

2) Job analysis

- a. Identifies the Knowledge, Skills and Abilities (KSAs) for the target position and certain KSAs, which are required in order to successfully complete the training. These KSAs will be used in the evaluation and ranking of candidates.
- b. KSA Examples
 - Ability to interpret and apply regulations
 - Ability to work with detailed material
 - Ability to communicate in writing, etc.
- c. Since these KSAs focus on potential to complete a training program, the Human Resources Specialist will provide a generic crediting plan and a list of possible KSAs which may be used, if the manager determines that they are applicable to the position. If these are not appropriate, the Specialist will assist the manager in developing a more specific set of KSAs and/or a crediting plan.

3) **Candidate Rating/Ranking**

Careful evaluation of the quality of work experience, education and training, awards, supervisory appraisals, and other approved techniques for evaluating employees for promotion and internal placement.

4) **Ranking Panel**

Although panels are not required for rating and ranking of candidates, the use of a panel consisting of at least three members is **strongly recommended**.

d. Selection Requirements

- 1) After rating and ranking, the HRSC-NW will provide the selecting official a certificate of best-qualified candidates. Best-qualified candidates will be grouped together regardless of grade level eligibility.
- 2) Although not required, selecting officials are strongly encouraged to interview all candidates certified for selection. When interviews are conducted, equal treatment of all certified candidates is essential.

e. Placement

- 1) The selectee will sign an Upward Mobility Agreement before being assigned to the trainee position.
- 2) The selectee accepting a change to lower grade for the purpose of entering a trainee position under this Agreement is entitled to pay retention if both conditions below exist:
 - Otherwise eligible for it.
 - The salary cannot be accommodated within the rate range.

4. DEVELOPMENT OF TRAINEES

a. Training Plan

- 1) Within 30 days after the assignment to an Upward Mobility position, an individualized training plan should be developed and approved by the supervisor, in consultation with Human Resources Specialists.
- 2) Plan must carefully spell out the learning experiences the trainee will undertake in order to acquire the KSAs to perform successfully in the target position and make up the difference between the qualifications the employee brings into the program and the experience and/or education required by OPM qualification guidelines.
- 3) Plan must be successfully completed before reassignment or promotion to the target position.
- 4) The Upward Mobility Training Plan should include the following:

a) On-the-Job Training

At least 50% of the training must consist of on-the-job training in the target area or in closely related functions. Assignments must be meaningful and productive and provide for supervised development in the target position. The trainee may

attend special staff meetings and conferences as orientation to the special policy considerations of the activity and the career field. The trainee may be assigned full-time or part-time work with senior professional staff for special projects in order to learn by doing.

b) Formal Training

On-the-job training may be supplemented by formal education that contributes to success in the career field. Such courses, **at Government expense**, might be taken at DOD schools, interagency training facilities, colleges, or universities. As much as possible, formal instruction should be scheduled during normal working hours with trainees attending in a pay status. Trainees may attend classes on their own time in a non-pay status; however, such attendance must be the voluntary choice of the trainee, and such attendance may not be used as a condition of selection for the training program. The training under this program may not involve formal training alone and may not include a requirement for completion of a specific number of semester, quarter, or classroom hours (unless such requirement is part of the OPM qualification guidelines) or attainment of a certain grade point average.

c) Self-Development is Encouraged

The program may include extensive reading from a selected bibliography both of materials related 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 or without financial support from the activity.

b. Training Restrictions

- 1) Generally, training for an academic degree in order to qualify for a position for which the degree is a basic requirement is prohibited.
- 2) Training an employee in a non-government facility for the purpose of filling a position by promotion when there are other fully qualified internal candidates is prohibited.

c. Training Length

- This will vary according to the entry level of the trainee and the individualized program designed to qualify the trainee for the target position. It may range from a minimum of six months to a maximum of two years.
- Selectees will be credited with two months of OPM qualification guidelines required experience for each month of training they successfully complete under the terms of the Agreement.
- A trainee will be considered to have met the requirements established for the target position upon successfully completing the training plan and demonstrating the competencies identified for successful performance in the target position. The length of time necessary for the completion of the program will be stated in the plan.

5. TRAINEE PROGRAM AND PERFORMANCE EVALUATION

a. Supervisors

Written supervisory evaluations of the trainee's progress will be made 60 days after assignment to the trainee position and quarterly thereafter. The final summary evaluation will be completed within 30 days of the proposed ending date of the training

plan. This final report will consist of either (1) a Request for Personnel Action (RPA) and recommendation for promotion/reassignment to the target position; (2) a proposed extension of the training period; or (3) proposed reassignment to another position (which should be discussed with the Human Resources Specialist before completing the final report.)

b. Trainee

The trainee will also prepare a written evaluation of the completed training and development assignments and a self-appraisal. Trainee assessments are prepared at the same time as supervisory progress reports.

c. Performance Appraisals

As is required for all Navy employees, an annual appraisal, based upon a performance plan and standards, must be completed for Upward Mobility Program trainees.

6. CAREER COUNSELING

The trainee will receive career counseling before entering the developmental program, and at spaced intervals beginning no more than three months after entering the program. The supervisor of the target position will do the counseling with assistance from a Human Resources Specialist, if requested.

7. FLEXIBILITY PROVISIONS

- a. To avoid frequent minor amendments to the agreement caused by changes in concepts or methodology in subject fields or trainee needs, it is permissible to extend the training period to a maximum of 30 months, or shorten the training period originally established, provided it is not less than six months in length and the requirements of OPM qualification guidelines for the target position are met.
- b. The following are situations which may require modification to the training plan:
 - The trainee's inability to grasp a portion of the training given.
 - Adjustment of elapsed training time, in individual cases, to cover contingencies such as sick leave, emergency annual leave, court leave, etc.
 - Alteration of the sequence of training to allow the learning experience to be responsive to actual work situations as they arise during the developmental period, when conditions or experience indicate that changes should be made.
 - Addition or modification of subject matter material depending on technological changes, and the needs of the activity and the trainee.

8. FAILURE TO COMPLETE THE TRAINING PROGRAM

Program participants who enter the training program through a change to lower grade and do not successfully complete their training may be re-promoted up to their former grade as an exception to merit staffing procedures. Employees who were reassigned into the training program and are unsuccessful may be reassigned to another position for which they qualify without adverse action procedures. If a position to re-promote or reassigned an employee into the former grade level is not available, the employee must be placed in a lower graded position or separated through adverse action procedures. (Contact the Human Resources Specialist for more information, if needed.)

APPENDIX 5E SAMPLE INTERVIEW QUESTIONS

NOTE: Only ask questions which are related to the job being filled. Questions should be open-ended, i.e. they should elicit a detailed response, not a simple yes or no. For example, you would not ask, 'Did you enjoy your last job?' Rather, consider the phrasing used in the first sample question.

1. What did you enjoy most about your last job?
2. What type of formal education do you have that is related to this job?
What specifically did you learn that you think you can apply to this position?
3. Why do you want to work for our organization?
4. What qualifications do you possess that make you the right person for this job?
5. When do you know it's time to change jobs?
Why are you looking to change jobs now?
6. What didn't you like about your last job? What did you like?
7. How did you feel about the people you worked with?
8. How do you think they felt about you?
9. What do you think about the idea that the customer is always right?
10. Who are the customers in our organization?
11. What was the most challenging work assignment you've ever done?

What made it tough?

How did you handle it?

What decisions did you have to make?

What did you do right/well in dealing with this situation and what could you have done better?
12. What type of decisions have you been required to make in past positions?
What was the impact of these decisions?
13. Describe an accomplishment in a past position of which you are proud.
14. If you are not able to do a job function or if you do not understand a regulation or policy, what do you do?
15. In past positions, what management philosophies or company policies did you not agree with?

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16. What are your career goals?
17. [Review the working conditions and physical requirements of the job with the applicant.]
Do you have any temporary or permanent limitations that might impact your ability to perform the full range of duties?
If so, what accommodations would be helpful to you in satisfying the requirements of this position?
18. [As required by the job] Is there anything that might affect your ability to obtain a security clearance, clear a background check, maintain a driver license, or obtain professional certification, etc.?
19. If you could create a job that would fit you in every way including your likes, dislikes and abilities, what would it involve?
20. What do you feel are your professional assets/strengths?
21. What do you feel are your weaknesses?

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