DEPARTMENT OF THE NAVY
SPACE AND NAVAL WARFARE SYSTEMS COMMAND
WASHINGTON, D.C. 20363-5100

IN REPLY REFER TO:

SPAWARINST 12330.1
SPAWAR 08-1
21 December 1992

SPAWAR INSTRUCTION 12330.1

From: Commander, Space and Naval Warfare Systems Command

Subj: BALANCING CIVILIAN WORK FORCE SKILLS

Ref: (a) SPAWARINST 5420.23 of 12 Jun 92
(b) SPAWAR 09 memo of 20 Jul 92
(c) SPAWARINST 12330.2 (Unsigned)
(d) SPAWARINST 12410.16 of 4 Mar 88
(e) FPM Supplement 351-1
(f) ASD (FM&P) memo of 14 Apr 91

Encl: (1) Work Force Balancing Process

1. Purpose. To provide a process for balancing the civilian work force with workload requirements in order to sustain mission accomplishment and employment stability for SPAWAR headquarters civilian personnel.

2. Applicability. This instruction applies to all civilian positions in SPAWAR headquarters.

3. Background

a. By the end of FY-95, SPAWAR headquarters is required to reduce its civilian work force 30 percent from the 30 September 1991 on-board count. Therefore, processes must be developed for adjusting workload and positions, and for preparing, utilizing, and reassigning our employees in a manner which retains efficiency and productivity.

b. The Corporate Review Team (CRT) reviewed each headquarters component to recommend organizational, programmatic and procedural adjustments intended to streamline the organization and accommodate work force reductions with minimum impact on programs and people. This work continues through the Office of the Transition Executive (SPAWAR 09T), established by reference (a).

c. Reference (b) tasked each directorate head to make a critical assessment of manpower necessary to meet program requirements through FY-95 and to prepare a phased total work force staffing plan, executable within assigned civilian and military controls and based on sound position management principles.

d. Our expectation has been, and continues to be that SPAWAR headquarters will be able to achieve the required work force reductions through attrition and transfer of work to the field. Present resource allocations are sufficient to support projected civilian on board levels during this period of right-sizing. As we experience attrition, hiring from the outside will be constrained. The job of balancing the required work with the available employees will be particularly difficult because:

(1) There is no way to predict accurately where and when attrition will take place;

(2) some organizations which may be overstaffed in the present may be understaffed by FY-95 and vice versa;

(3) some organizations may be overstaffed in the aggregate but understaffed in specific occupational disciplines, and vice versa; and

(4) personnel targets, workload, and funding will probably change.

4. Policy

a. COMSPAWAR's objective is to continue to accomplish mission goals while meeting required work force reductions.

b. To the maximum extent possible, work force reductions will be achieved through attrition. SPAWAR intends to avoid the disruption of Command operations and the adverse impact to civilian personnel which would result from a reduction-in-force (RIF). We will exercise all reasonable internal realignment and external placement alternatives in a continuing effort to avoid RIF.

c. Employees in positions scheduled for deletion from the staffing plan through FY-95 will be reassigned to continuing positions whenever possible. To facilitate their reassignment, these employees will comprise a Transition Pool from which referrals will be made for priority consideration for SPAWAR headquarters vacancies for which they qualify, in accordance with the procedures in paragraph 7.

d. Employees who are reassigned will be provided opportunities to acquire the knowledges and skills necessary to perform in new positions or new career fields.

e. All employees will receive consideration for training and/or reassignment without regard to their race, religion, color, sex, age, national origin, or physical or mental handicap.

The Command will be mindful of affirmative action goals in all personnel actions resulting from these processes.

f. To the maximum extent practicable, employees will be kept fully apprised of decisions which impact their positions. The headquarters phased staffing plan will be available to all employees.

g. The successful achievement of personnel goals depends in large measure on careful management, and on the full participation by all SPAWAR managers, supervisors, and employees in the processes being used to achieve these goals.

5. Program Transfer

a. As one right-sizing strategy, the SPAWAR Executive Steering Group chartered the Program Evaluation Board to examine the life cycle status of assigned programs to determine which are suitable for management at the field activity level. Where work is transitioned to the field, appropriate resources, i.e., end strength and funds, will also be provided.

b. Command policy is to minimize relocation of personnel outside the commuting area. In the preponderance of cases where work is transferred to the field, employees will be reassigned to SPAWAR headquarters vacant positions for which they qualify, with appropriate retraining where necessary, prior to the transfer of work to the field.

c. In rare instances, it may be necessary to transfer employees to the field with the work. In a transfer of function, an employee is entitled to transfer with his or her position only if the alternative is separation from Federal service or downgrade within SPAWAR headquarters.

d. Command policy is that employees will be transferred with their function when the transfer is within the commuting area.

e. Affected employees will be notified with as much lead time as practicable should any such action become necessary.

f. Policies and procedures governing transfer of work to the field are addressed in greater detail in reference (c).

6. Phased Staffing Plan. The staffing plan approved by the Vice Commander (SPAWAR 09) governs the positions a directorate or staff code will employ to accomplish its assigned mission. The approved staffing plan authorizes the directorate or staff code head to allocate manpower resources over the phased reduction

period, and to achieve personnel goals through position deletion as program transfer and/or attrition occurs.

a. Subsequent to approval of the initial phased staffing plan, it is expected that changes to the staffing plan will be necessary to reflect process improvements and economies realized through principles of Total Quality Leadership, position management and job redesign, automation and technology, transitioning work to the field, attrition, or other means.

b. Requests for changes to the staffing plan will be submitted for approval to SPAWAR 09 via the Director for Corporate Management (SPAWAR 08) and SPAWAR 09T. Requests will contain a brief explanation of the requested change(s) and will include a copy of the currently approved plan marked up to show the requested change(s).

c. SPAWAR 08 will promulgate and maintain the SPAWAR headquarters staffing plan upon approval by SPAWAR 09.

7. Work Force Balancing Process. In order to balance the civilian work force with mission requirements, it is essential that managers fill only those positions most necessary to the conduct of business, in accordance with the approved staffing plan. Within SPAWAR headquarters this will be accomplished utilizing the follow process:

a. A position on the approved staffing plan becomes vacant via normal attrition, e.g., reassignment within SPAWAR headquarters, transfer to another Navy component or other Federal agency, retirement from Federal service, or resignation.

b. The directorate or staff code in which the vacancy occurs will determine whether the position is scheduled for deletion from the approved staffing plan and will take appropriate action as follows:

(1) If scheduled for deletion in the current fiscal year and the work requirement is completed, the vacant position will be deleted from the staffing plan.

(2) If a position scheduled for deletion in the current fiscal year is vacated prior to the end of the work requirement, suitable alternatives will be examined for accomplishing the work without permanently filling the vacancy, e.g., job engineering, redistribution of duties, and detail.

(3) If the vacancy occurs in a position with a work requirement which continues through the next fiscal year or longer, the directorate or staff code will initiate action within

30 days to fill the vacancy utilizing the four-phase process described below and summarized in enclosure (1). Failure to initiate action within the prescribed period will result in loss of authority to fill the vacancy.

c. Phase 1 - Reassign Within Directorate. The Director for Human Resources (SPAWAR 09HR) will refer the resumes of Transition Pool employees from within the directorate or staff office in which the vacancy occurs who are qualified for reassignment to the vacant position. The directorate or staff office will make a selection from among the employees referred in accordance with the following order of precedence:

(1) Qualified Transition Pool employees who occupy positions scheduled to be deleted in FY-93.

(2) Qualified Transition Pool employees who occupy positions scheduled to be deleted in FY-94.

(3) Qualified Transition Pool employees who occupy positions scheduled to be deleted in FY-95

(4) If no qualified Transition Pool employees within the directorate or staff office are available, the directorate or staff office may consider qualified non-Transition Pool employees from within the directorate or staff office in which the vacancy occurs and may make a selection and fill the vacancy.

(5) If no selection is made and the directorate or staff office is not projected to meet its year-end controls, suitable alternatives will be examined for restructuring the position to permit filling the vacancy and accomplishing the work from within existing directorate or staff office resources.

(6) If no selection is made and the directorate or staff office is projected to meet its year-end controls, Phase 2 will commence.

d. Phase 2 - Reassign Transition Pool Employees From Other Directorates. SPAWAR 09HR will refer the resumes of Transition Pool employees from outside the directorate or staff office in which the vacancy occurs who are qualified for reassignment to the vacant position. If qualified Transition Pool employees are available, the directorate or staff office will make a selection in accordance with the following order of precedence:

(1) Qualified Transition Pool employees who occupy positions scheduled to be deleted in FY-93 will be referred, and the directorate or staff office will make a selection and fill the vacancy.

(2) If no qualified FY-93 Transition Pool employees are available, qualified Transition Pool employees who occupy positions scheduled to be deleted in FY-94 will be referred, and the directorate or staff office will make a selection and fill the vacancy.

(3) If no qualified FY-93 or FY-94 Transition Pool employees are available, qualified Transition Pool employees who occupy positions scheduled to be deleted in FY-95 will be referred, and the directorate or staff office will make a selection and fill the vacancy.

(4) If no qualified Transition Pool employees are available for reassignment, Phase 3 will commence.

e. Phase 3 - Reassign Non-Transition Pool Employees From Other Directorates

(1) A notice of the availability of the vacant position will be placed in the Plan of the Week by SPAWAR 09HR soliciting candidates for reassignment. Employees qualified for reassignment responding to the notice are referred and the directorate or staff office will make a selection and fill the vacancy.

(2) If no qualified internal candidates are available for reassignment, Phase 4 will commence.

f. Phase 4 - Recruit. The directorate or staff code head will submit requests for recruitment, including hiring of engineers in training (EITs) and conversion of interns, to SPAWAR 09 via SPAWAR 08 and SPAWAR 09T. Recruitment actions are subject to any prevailing high-grade, hiring and/or promotion constraints. If approved, recruitment actions are forwarded to SPAWAR 09HR and the DOD-wide Priority Placement Program (stopper list) will be applied to determine if other displaced DOD employees are available to fill the position.

g. SPAWAR 09T will review reassignments for technical and programmatic impact and will act as the "honest broker" between the gaining and losing organizations.

h. To facilitate the work force balancing process, all employees will be asked to complete an employment resume form of their experience and training which will be automated for referral to selecting officials. By separate correspondence, SPAWAR 09HR will provide further information on that form.

i. Exceptional circumstances may warrant granting waiver(s) to the provisions of this instruction. Any such waivers will be approved by SPAWAR 09.

8. Qualifications Determination

a. SPAWAR 09HR will evaluate employees' education, training and work experience to determine the occupational series and grade level(s) for which they qualify. Referrals for reassignment consideration under the SPAWAR headquarters Work Force Balancing Process will be in accordance with SPAWAR 09HR qualification determinations. SPAWAR 09HR will provide advice to managers and employees on placements and qualification requirements, as necessary.

b. Referrals for reassignment consideration will include employees who occupy positions with the same full performance grade level as the vacant position and who, with a reasonable amount of on-the-job training, could be expected to perform at a satisfactory level within six months of the date of reassignment. Employees selected for reassignment will be afforded the full six-month period to achieve the satisfactory performance level.

9. Personnel Records Validation. In order for SPAWAR 09HR to make correct qualification determinations, it is essential that employee personnel records be current and accurate. Therefore, all SPAWAR headquarters civilian personnel will review their Official Personnel Folders (OPFs) and certify that the information maintained by SPAWAR 09HR is correct and complete.

10. Training. Within 30 days of reassignment to a new position, the supervisor, together with the employee, will develop an Individual Development Plan (IDP) which identifies required classroom and/or on-the-job training and which utilizes the modules of reference (d). Modules are available for the following fields:

Financial Management
Engineering/Acquisition Management
Logistics Management
Supervisory/Management/Executive
Contracts Management
Other Professional (FY-93)
Office Support Staff

11. Assistance with Outside Placement. For employees who are interested in employment outside the Command, the following assistance is currently available:

a. Defense Outplacement Referral System (DORS) is an automated referral system established to provide maximum placement/referral opportunity for current DOD employees and their spouses. It is a voluntary system and should not be confused with the Priority Placement Program (PPP) which is a mandatory

program for displaced employees within DOD. At their option, employees may register in up to three occupational series in any geographic area, with referrals made to any or all of three sources: DOD activities, non-DOD Federal agencies, and the private sector. Registration packages may be obtained from the Recruitment and Placement Department, Human Resources Office - Crystal City (HRO-CC), room 436, Crystal Mall Two (CM #2).

b. HRO-CC has established the Career Resource Center in room 505, CM #2. The Center has activity stations plus a small library of reference books and articles related to securing a job. The stations are organized into three learning activities: "Understanding Yourself," "Selling Yourself: Successful Job Interviewing," and "Quick and Easy SF-171," an automated software package for preparing and printing SF-171s.

c. Job Clubs, a component of the Career Resource Center, are self-directed support groups targeted for anyone seeking career direction and job satisfaction. Meetings are held on first and third Tuesdays in the Career Resource Center (room 436, CM#2) from 1130 to 1215 as brown-bag, lunchtime sessions.

d. Per references (e) and (f), supervisors are authorized to grant a reasonable amount of administrative leave, not to interfere with mission-related work assignments, for the purpose of job interviews and for the preparation of job applications and resumes. Use of government-owned computers and copiers in the preparation of applications and resumes is authorized. The prohibition on the use of official government mail for conveying job applications remains in effect.

12. Action

a. After reviewing and certifying that the information contained in their OPFs is correct, all employees will complete an employment resume form (to be provided separately) to assist with qualification and placement decisions. Initial collection emphasis will be on employees whose positions are scheduled for deletion from the staffing plan. The resumes will be submitted to SPAWAR 09HR as soon as possible after forms are distributed, so copies can be made available to offices who request names of reassignment eligibles. Employees are encouraged to review the Plan of the Week for announcements of vacant positions for which they may wish to be considered.

b. Directorate and staff code heads will adhere to the procedures in this instruction for making changes to approved staffing plans and for filling vacancies. Supervisors will keep their employees fully apprised of the contents of the approved

phased staffing plan and of any approved changes thereto which may impact them.

c. All supervisors and selecting officials will assign positions, duties, and training with full awareness and consideration of the principles of equal employment opportunity (EEO).

d. Immediate supervisors will prepare IDPs designed to broaden employee skills and make them better adaptable to changes in work assignments and/or changes in career fields.

e. SPAWAR 08 will maintain the SPAWAR headquarters approved staffing plan and make recommendations to SPAWAR 09/09T on manpower and position management considerations in regard to requested staffing plan changes.

f. SPAWAR 09HR will provide advice and assistance to managers and employees on all civilian personnel and EEO policies and procedures related to the implementation of the instruction; issue guidance concerning the review and certification of information contained in employees' OPFs; maintain the OPFs of SPAWAR headquarters employees; and process personnel actions.

g. SPAWAR 09T will approve personnel actions other than recruitment actions, and make recommendations to SPAWAR 09 on the technical and programmatic appropriateness of staffing plan change requests.

W. H. Cantrell

W. H. CANTRELL
Rear Admiral, U.S. Navy

Distribution:
SPAWAR List 7

Stocked:
Room 113 (SPAWAR Directives and Forms)