

SPAWAR INSTRUCTION 5430.31A

From: Commander, Space and Naval Warfare Systems Command

Subj: ORGANIZATIONAL STRUCTURE AND FUNCTIONAL STATEMENTS IN
THE SPACE AND NAVAL WARFARE SYSTEMS COMMAND

Ref: (a) SPAWARINST 5430.1D

Encl: (1) Standard for Preparing Organizational Data
(2) Organization Change Guidelines w/four attachments
(3) SPAWAR Reorganization Notice Format (Sample)

1. Purpose. To update procedures and guidelines to be followed when proposing or effecting changes in organization and functions, designate responsibilities or to redescribe functions within the Space and Naval Warfare Systems Command (SPAWAR) headquarters.

2. Cancellation. SPAWAR Instruction 5430.31 is cancelled.

3. Scope. The procedures outlined in this instruction apply to the establishment, disestablishment, or modification of all organizational components and the merger, transfer, addition, deletion or redescription of functions.

4. Definition. An organizational change is any assignment, reassignment, or deletion of functions and responsibilities to, between, or among organizational components, as well as any addition, deletion, or change in approved titles, nomenclature or code designations.

5. Policy

a. The SPAWAR Organizational Manual, reference (a), is the authoritative guide for the approved organizational structure and functional statements within SPAWAR headquarters. SPAWAR organizational components are shown down to and including the branch level of an organization (unless an organization structure does not go down to the branch level). Individual charts that appear in the Organization Manual shall reflect the current approved organization structure for Staff and Program Directorate Heads (PDs).

b. Establishment, disestablishment or major modification to a Staff Office, Directorate, or Program Directorate must be approved by SPAWAR 00. Organizational changes not falling into one of the above categories may be approved at the Vice Commander, Directorate, or Staff Code.

Major modifications to an organization include:

(1) Any functional and/or hardware transfer between SPAWAR and another command.

(2) Changes to an organizational components mission and function:

(a) That result from the gain or loss of a major program.

(b) Based on projection of future workload that would result in assignment of new programs to the organization not previously coming under their cognizance.

(3) Changes that involve the establishment or disestablishment of a PMW in a PD (or equivalent level in a Staff Directorate Office, Deputy Commander or Vice Commander organizational component) as a result of changes cited above.

c. Organizational titles, codes and nomenclature will be standardized to the maximum extent possible following the guidance of enclosure (1).

d. SPAWAR reorganization notices will be issued for changes described in paragraphs 5b(1), (2) and (3).

6. Responsibilities

a. Program and Staff Directorate Heads are responsible for:

(1) Continual review of their organization structure and functional statements.

(2) Submitting organizational changes, including revised organizational charts and functional statements as per enclosure (2).

b. The Head, Administrative Services Branch (SPAWAR 08-44) is responsible for:

(1) Maintaining and publishing the SPAWAR Organization Manual, reference (a). Changes to the Manual will be published by change transmittal, as required. Access to this information can be obtained by going into the SPAWAR Knowledge Center (SKC), (<https://skc.spawar.navy.mil/skctoday.nsf/skctoday?readform>) under Organization and Links. This is a living website and cannot be changed without SPAWAR 08-44 approval.

(2) Providing advice and guidance on proposed changes to organizational structures and functional statements.

(3) Preparing SPAWAR reorganization notices, distributing to other agencies and inserting information into the SKC after SPAWAR 00 approval.

7. Procedures

a. The Administrative Services Officer (SPAWAR 08-44) will perform the following functions for approved changes:

(1) Review all charts and functional statements; assign and control chart numbers; and prepare change transmittals to the organization manual.

(2) Prepare SPAWAR reorganization notices, using the format of enclosure (3).

(3) Process changes to an organizational structure and/or functional statements that do not require command level approval, a marked up copy of the current organization manual charts must be submitted to SPAWAR 08-44 for processing using the guidelines described in enclosure (3).

(4) If an organizational change involves personnel reassignments, the gaining organization will prepare the PARs.

8. Action. Addressees shall adhere to the provisions of this instruction.

KENNETH D. SLAGHT
Rear Admiral, U.S. Navy

Distribution:
SPAWAR List 3
SNDL Part II:
FKQ (SPAWAR Activities)

STANDARDS FOR PREPARING ORGANIZATIONAL DATA

1. Functional statements are required for each organizational component through the branch level of an organization. These statements should accurately describe the work or responsibilities assigned to the organizational component. They should not describe the supervisory responsibilities of the head of the component or the procedures by which assigned functions are performed. They shall be brief, concise and limited to general responsibilities.

2. A coding and nomenclature system will be used to identify each echelon in the Command. The following system will be used for organizations in the Space and Naval Warfare Systems Command Headquarters. Because of size, structure or other reasons, an organization may need to make minor changes to the recommended coding and nomenclature system. Deviations from the standard should be limited as much as possible.

a. <u>First Level.</u>	Commander	SPAWAR 00
	Vice Commander	SPAWAR 09
	Deputy Commander	SPAWAR 00A
	Technical Director	00TD

Staff Offices will be identified by a letter suffix, e.g., SPAWAR 00C, 00G, etc.

b. Second Level

(1) Program Directorate. Identified by a two-digit code consisting of a "1" followed by a single digit of "3" to "9" (e.g., PD 18).

(2) Directorate. Identified by a two-digit code consisting of a "0" followed by "1" to "9" for the 01, 02, 04, 05, 06, 08 codes.

c. Third Level

(1) Division (of a Directorate). Identified by a three-digit code consisting of a Directorate Code followed by a "-" and any number from "1" to "9" (e.g., SPAWAR 08-4).

(2) PMW (Program Manager Warfare). A function sub-element of a Directorate. Begins with the two-digit parent Program Directorate code, followed by one digit from "1" to "9".

d. Fourth Level

(1) Branch Division (of a PMW). Identified by adding a "-" to the PMW code and followed by any number from "1" to "9", (e.g., PMW163-2).

(2) Branch (of a Directorate Division). Identified by a four-digit code consisting of the division code and adding a fourth digit (e.g., SPAWAR 08-44).

e. Staff Offices large enough to organize into subordinate units will follow the same structure and coding as for a Directorate.

f. Any proposed organization change that deviates from this system must be discussed with SPAWAR 08-4 prior to formal submission of the change.

4. Codes for Individual persons. Official separate codes will not be established for individual persons at the working level. This does not preclude the requirement for staffing plan position identification codes. However, unofficial codes will not be used in directives and organization charts. The guidelines for determining codes for individuals are as follows:

a. Individuals who have full, official supervisory responsibilities and/or carry the word “supervisory” in their official job title will always be identified with the code of the organizational component supervised.

b. A consistent plan for assigning codes to individuals (staffing plan position identification codes) should be applied throughout an organization. For this purpose, an organization is defined as an entire Staff Office, Program Directorate or Directorate. Input to the staffing plan should be coordinated with SPAWAR 08-3. Certain letter suffixes have been reserved for special uses.

5. Reservation of Certain Letter Suffixes. The following letter suffixes will be reserved for uses shown:

A: Full deputy to the head of an organizational component. (May not be applied below the division/PMW level as an organizational position, but may be used as a staffing plan position identification code at the non-supervisory level.)

D: Administrative Officers. Common directorate level administrative support.

E: Chief Engineer.

L: Logistics.

P: Those organizational components at either the Program Directorate or PMW level that is responsible for Business, Financial and Resource Management for the organizational unit (e.g., PD 16P, PMW 161P).

Encl (1)

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S: Secretary, clerical support. If there is more than one such position in an organization, identify as S1, S2, etc.

T: Technical Director. (May not be applied below the PMW level).

PM: The term Program Manager is a formal term reserved for Program Managers who are at the PMW level.

DPM: Deputy Program Manager

APM: Assistant Program Manager, used by the line employees who perform the daily managing of a project for the Program Manager.

Project Manager: Title used by the Directorates, or by PMW employees who are not APMs.

6. Titles of organizational components should be short and descriptive of work being performed. The use of such terms as "staff," "office," etc., may be used when appropriate and when preceded by the appropriate descriptive words. Organizational titles should end in the appropriate nomenclature (Directorate, Division, etc.) for that organizational level.

Encl (1)

ORGANIZATIONAL CHANGE GUIDELINES

1. The following guidelines provide the process for preparing reorganization change notices within the Space and Naval Warfare Systems Command.

a. Reorganizations, or plans to reorganize, should be discussed with the assigned Personnel Management Advisor (PMA). The PMA will provide guidance on the coordination and preparation of personnel documents to be submitted in the draft notice.

b. SPAWAR 08-44 will prepare the final reorganization notice for COMSPAWAR signature in the format shown in enclosure (3). The draft notice must contain:

(1) Functional statements in accordance with the format identified in SPAWARINST 5430.31A, for publication in the Organizational Manual

(2) A Microsoft Excel file shall be submitted to reflect the personnel changes affected by the reorganization. Include all civilian and military organizations affected. The draft file should contain the information for each employee (military or civilian) as identified in Attachment (A)

(3) Prior to submitting the file to SPAWAR 08-44, the organizational code may contact SPAWAR 00A-HR to obtain database information to process the civilian personnel realignment action. Also, a review of the Organization Database and the current organizational listing are necessary to ensure all employees are accounted for in the notice and that organizational titles are accurate.

(4) Prior to submitting the file to SPAWAR 08-44, the organization shall contact SPAWAR 09M to verify service members and notify them of the information included for the military realignment actions.

(5) An Organizational Chart reflecting the new components of the organization shall be forwarded to SPAWAR 08-44 as an attachment to the draft notice. If the reorganization involves realignment of personnel from other directorates or staff codes, the information must be routed through the appropriate code(s) for concurrence. There are two forms of organizational charts, formal or informal.

(a) Formal charts. Will be used for making organizational changes, restructuring, realignment, or establishment of new codes as shown in Attachment (C). Below a certain level, the formal process is not required. For example, if Code 08-2 changes his/her organization (code

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structure), it does not require a notice or implementation of the formal process. A draft notice shall be prepared that will include an organization chart, mission/function statement and a list of all military/civilian personnel affected.

(b) Informal charts. Will be used for minor changes, name changes, title changes, vacancies, or acting designations (approved within code by Code Head) as shown in Attachment (D). The informal process might include changes to the code's organization as long as the pre-established code remains unchanged. The Code Head can make changes/re-designations that fall under that pre-established code. For example, under Code 08-2, the Code Head may have 08-21, 08-22, 08-23 or 08-2A, 08-2B, etc.

2. SPAWAR 08-44 will consolidate the employee listing and organizational title and code changes and route a hard copy final draft Reorganization Notice and enclosures to the cognizant PMA, all affected organizations, SPAWAR 00A-HR, SPAWAR 09M, SPAWAR 01-2, SPAWAR 01-4, SPAWAR 00C, SPAWAR 00P, and the Deputy Commander for review and comment prior to submitting the Notice to SPAWAR 00 for signature.

3. Upon SPAWAR 00 approval, SPAWAR 08-44 will distribute the signed Notice to the cognizant PMA and SPAWAR 01-4 so that the appropriate personnel and payroll actions can be initiated and processed timely. Signed copies will also be distributed to the organizations listed in paragraph 2 above and will be posted to the Systems Knowledge Center (SKC).

a. The processing of the realignment action requires 30 days lead-time after authorization. The effective date should be the first day of the first pay period after the 30-day timeframe. The PMA will coordinate the appropriate personnel actions (PPI/memo) to the HRSC to effect the changes.

b. Military realignment actions will take place in accordance with SPAWAR 09M practices and procedures.

c. SPAWAR 08-44 will be responsible for distributing and posting the notice, and updating the SPAWAR Organizational Manual to reflect the approved changes within 30 days of the effective date of the civilian personnel actions.

d. Affected organization's Administrative Officers, or designated personnel, will be responsible for updating plant property records, locator information, guard mail addressees, consolidated mail facility mailing addresses, SKC directory, Outlook address list, timecard files and staffing plan records, etc.

Encl (2)

PERSONNEL CHANGES

<i>Name</i>	<i>Old UIC</i>	<i>Old Code</i>	<i>New UIC</i>	<i>New Code</i>	<i>New Cost Center Code (military excluded)</i>	<i>SSN</i>	<i>LSD Number</i>	<i>Pay Plan, Series, & Level</i>

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CONTROL NO:	DATE	ACTION CODE:	DUE ONE WEEK
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SUBJ: (Code) Reorganization

R O U T E T O	C O D E S *	I N I T I A L	D A T E	*PURPOSE CODES:
				S - SIGNATURE
1xxx				Code involved in Reorganization
1xx				
08-44				Administrative Services Branch
08-3				Corporate Planning and Development
09M				Military Personnel
01-2				Operations & Manpower Budget Division
01-4				Financial Systems and Travel Branch
00C				Office of Legal Counsel
00A-HR				Human Resources Program Office
00P				Public Affairs and Corporate Communications Office
HRO				Personnel Management Advisor
00A	A			Deputy Commander
00	S			Sign Notice

PLEASE RETURN ROUTE SHEET TO 08-44 ADMIN UPON COMPLETION OF ACTION

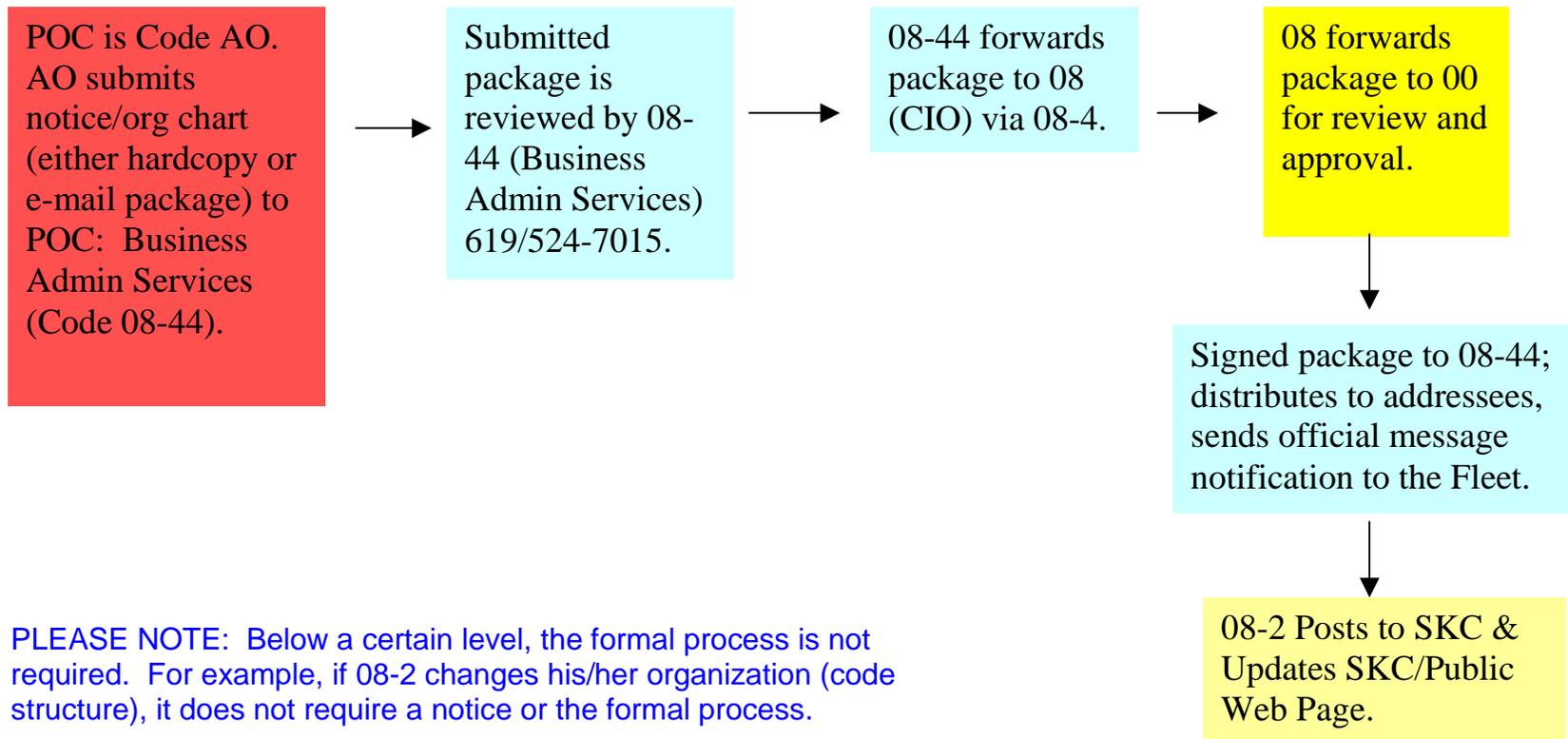


Formal Organization Chart Process

PURPOSE: For organizational changes, restructuring, realignment, establishment

GUIDELINES: SPAWARINST 5430.1A (Code 08-44 retains)

SUBMISSION REQUIREMENTS: Notice, Organization Chart, Mission/function statement, List of military and civilian personnel



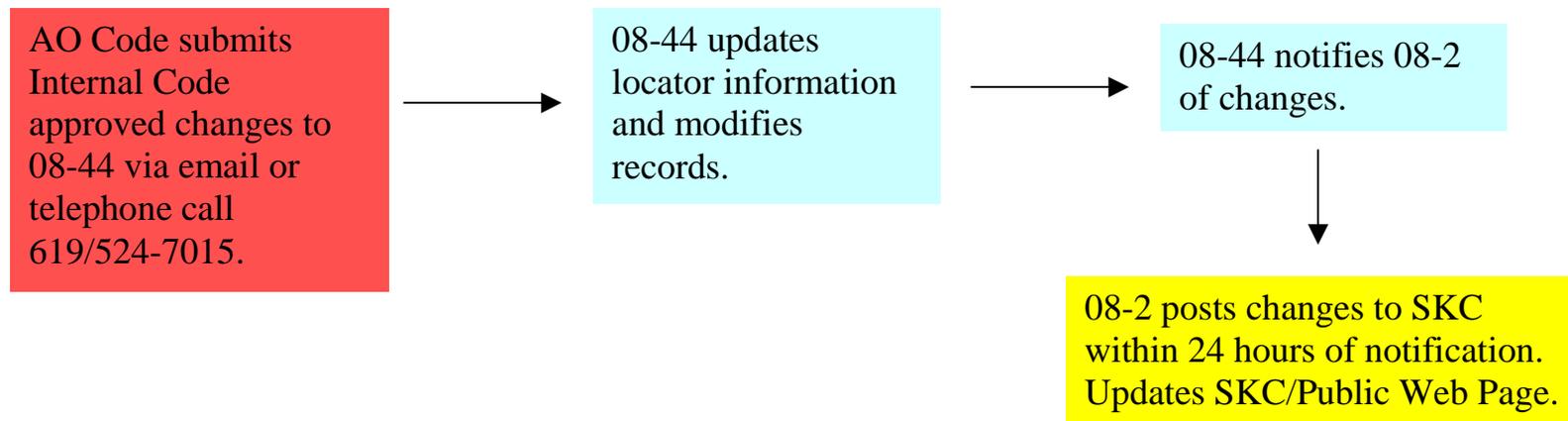
PLEASE NOTE: Below a certain level, the formal process is not required. For example, if 08-2 changes his/her organization (code structure), it does not require a notice or the formal process.



Informal Organization Chart Process

PURPOSE: For minor changes, name changes, title changes, vacancies, acting designations (approved within code by Code Head)

SUBMISSION REQUIREMENTS: Email notification or telephone call



PLEASE NOTE: The informal process might need to include changes to the code's organization so long as the pre-established code remains unchanged. The Code Head can make code changes/redesignations, which fall under that pre-established code. For example, under Code 08-2, the Dept Head may have 08-21, 08-22, 08-23 or 08-2A, 08-2B, etc.

SPAWAR REORGANIZATION NOTICE FORMAT

Canc frp:
SPAWARREORGNOTE 5430/

SPAWAR REORGANIZATION NOTICE 5430/

From: Commander, Space and Naval Warfare Systems Command

Subj:

Ref: (a) SPAWARINST 5430.1D

Encl: (1) Sample Organizational Chart
(2) Sample Mission and Function Statement
(3) Sample Personnel Assignment

1. Purpose.
2. Discussion.
3. Organizational Change
4. Personnel Assignments
 - a.
 - b.
 - c.
5. Action.
6. Cancellation.

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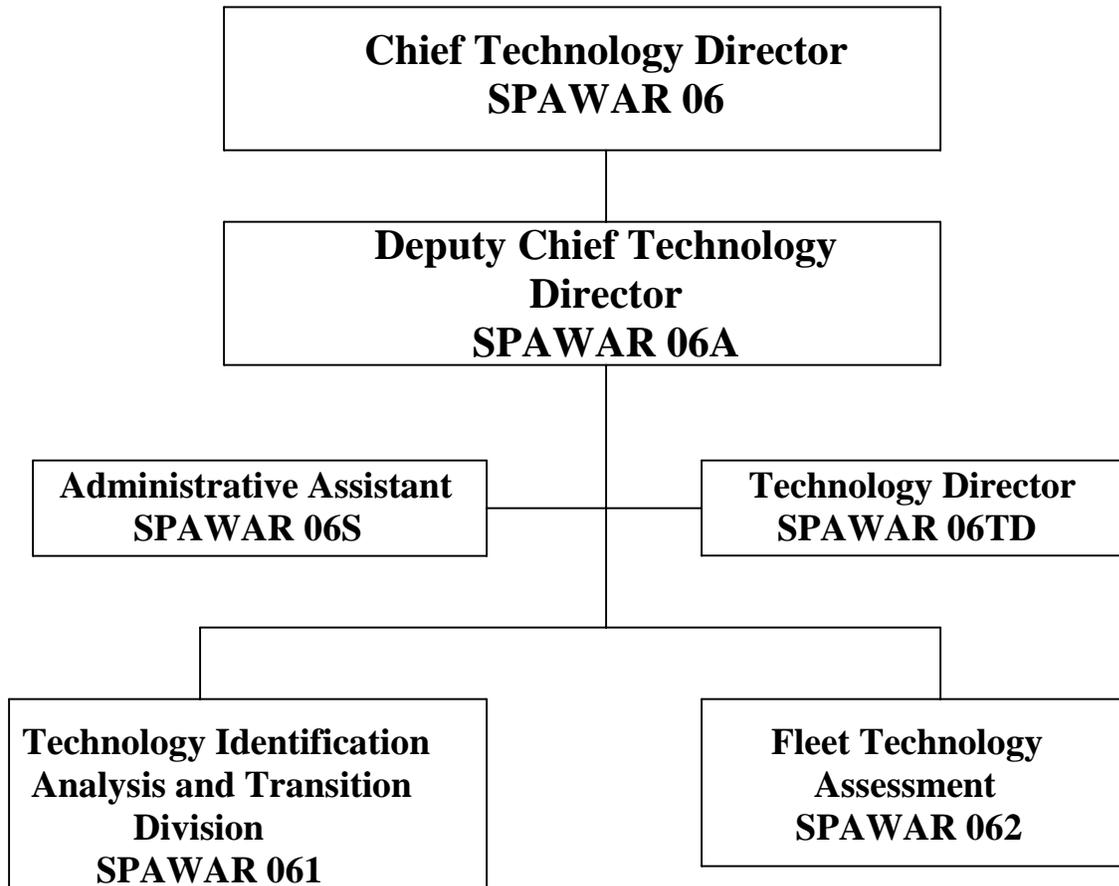
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Distribution:

00A	Deputy Commander
00A-HR	Human Resources Program Office
00A-W	Washington Office
00P	Public Affairs and Corporate Communications Office
01-41	Timekeeping
08	Workforce Planning
08-44	Administrative Services Branch
09M	Military Personnel
D0297	Locator
D0331	Mail Center
D0333	Travel
D0352	Security
SSC San Diego	
SSC Charleston	
SSC Chesapeake	

Encl (3)

SAMPLE ORGANIZATIONAL CHART



SAMPLE MISSION AND FUNCTION STATEMENT

CHIEF TECHNOLOGY OFFICE
SPAWAR 06

SUMMARY OF ORGANIZATION

Chief Technology Office	06
Deputy Chief Technology Office	06A
Technology Identification, Analysis & Transition Division	061
Fleet Technology Assessment	062

1. MISSION:

Identify, develop, assess, and transition new C4ISR battle management concepts and technologies into SPAWAR product lines that enable domination of the battle space, and implement Network Centric Warfare. To accomplish this SPAWAR 06 leverages technical advances that support current naval concepts and experiments focused on Fleet challenges of 2020 and beyond.

2. FUNCTION:

a. Provide leadership, management and administration for the identification, assessment, experimentation, and transition of C4ISR and other IT technologies into SPAWAR product lines.

b. Serve as the primary SPAWAR POC for the Future Naval Capability (FNC) Process. Serve as Acquisition Representative on the Integrated Product Team (IPT) for both the Information Distribution and Decision Support System FNCs. Establish and support processes for coordinating and determining SPAWAR inputs for the Acquisition Community perspectives on FNC efforts, and facilitating transition of technology programs from the FNCs to SPAWAR product lines.

c. Act as the SPAWAR liaison with Commander, Third Fleet on Navy and Joint experimentation.

SAMPLE PERSONNEL ASSIGNMENT

**CHIEF TECHNOLOGY OFFICE
SPAWAR 06**

PERSONNEL ASSIGNMENTS

MILITARY EMPLOYEE LISTING

<i>Name</i>	<i>Old UIC</i>	<i>Old Code</i>	<i>New UIC</i>	<i>New Code</i>	<i>New Cost Center Code (military excluded)</i>	<i>SSN</i>	<i>LSD Number</i>	<i>Pay Plan, Series, & Level</i>
Smart, I. M.	42200	13A	42200	061		123-45-6789		
Sailor, R. U.	42200	132-2A	42200	062		987-65-4321		

CIVILIAN EMPLOYEE LISTING

<i>Name</i>	<i>Old UIC</i>	<i>Old Code</i>	<i>New UIC</i>	<i>New Code</i>	<i>New Cost Center Code (military excluded)</i>	<i>SSN</i>	<i>LSD Number</i>	<i>Pay Plan, Series, & Level</i>
Civilian, I. M.	42200	13	42200	06	0600	233-67-6789	P52340000456	DP-301-4
Contractor, R. U.	42200	133	42200	062	0610	987-65-4321		

Encl (3) to
Encl (3)