DEPARTMENT OF THE NAVY

NAVAL SEA SYSTEMS COMMAND

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NAVSEA INSTRUCTION 5310.11

From: Commander, Naval Sea Systems Command

Subj: Position management

Ref: (a) DOD Directive 1400.26 of 28 Jul 1979, Subj: Position Management
(b) SECNAVINST 5310.11D of 25 Apr 1980, Subj: Position Management
(c) OMB Circular No. A-64 (Revised) of 30 Jul 1980, Subj: Position Management Systems and Employment Ceilings
(d) OPNAVINST 5310.17 of 4 May 1981, Subj: Position Management
(e) NAVSEAINST 5310.5A of 31 Aug 1981, Subj: Position Management

Encl: (1) Position Management Criteria and Summary of Position Management Standards
(2) Preparation of Staffing Plans
(3) Sample Staffing Plan

1. Purpose. To establish guidelines for the development, implementation, and administration of an effective Position Management Program for the SEA 05 shore activities in accordance with references (a) through (e).

2. Discussion. Position management is the process whereby managers assign duties and responsibilities to positions, and structure these positions to form an organization that provides for the effective and economical accomplishment of an assigned mission. Positions covered include all civilian positions and related military positions in integrated civilian-military organizations.

3. Policy. Consistent with the policy of ensuring the most effective use of resources, the Deputy Commander for Ship Design and Engineering (SEA 05) expects each shore activity under his cognizance to:

a. Ensure strict observance of civilian ceilings and high grade allocations.

b. Pursue vigorously a Position Management Program which provides an optimum balance among:

(1) Mission needs

(2) Economy

(3) Efficiency of operations

(4) Effective employee utilization

c. Carry out position management in a manner which ensures compatibility with other Navy programs, such as position classification, affirmative employment programs (i.e., Federal Women's, Hispanic Employment, Upward Mobility, Employment of the Handicapped, and Federal Equal Opportunity), merit staffing, employee utilization, etc.

4. Assignment of Responsibility and Accountability for Position Management

a. Position management is the responsibility of line supervisors at all levels. They have the job knowledge and experience required to make decisions which affect the economy and effectiveness of the organization. In carrying out this responsibility, managers and supervisors shall apply the position management criteria stated in enclosure (1) when assigning work, structuring and staffing positions, reorganizing, making staffing changes, or assuming new functions.

b. No standard criteria for measuring progress in the area of position management are available. However, activities shall utilize indicators of manpower and operational effectiveness such as ratio of supervisors, military and civilian, to non-supervisory employees; line to support positions; ratio of engineering and technical positions to clerical and other support positions; and grade distribution to measure progress in this area.

c. Effectiveness of the Position Management Program shall be a mandatory part of formal position management evaluations or their equivalent.

d. Final accountability for the Position Management Program rests with the activity's Commanding Officer.

5. Action

a. Management and Administration Office (SEA 05A)

(1) Develop shore activity Position Management Program policy and guidance.

(2) Manage/monitor shore activity Position Management Program.

(3) Annually evaluate shore activity position management effectiveness.

(4) Provide managed activities with ceiling and high grade allocations for the current fiscal year to be used in preparation of activity staffing plan.

(5) Evaluate shore activity staffing plans for compliance with position management policy and other constraints.

(6) Approve position management and other management aspects of new and upgraded shore activity positions, as necessary.

b. Shore Activity Commanding Officers

(1) Designate a Position Management Officer who will be responsible for the administration of the program. This individual may be the Commanding Officer, Executive Officer, or other official with ready access to the activity's Commanding Officer. SEA 05A4 should be notified when the Position Management Officer has been designated.

(2) Implement position management policy.

(3) Provide advice and guidance to the Position Management Officer and supervisory personnel.

(4) Establish procedures for coordination of all staff elements (budget, personnel, management, etc.) concerned with position management functions.

(5) Monitor internal Position Management Program.

(6) Annually evaluate position management effectiveness.

(7) Develop, evaluate, approve, and maintain internal staffing plan. The staffing plan must be updated when significant changes in mission, workload, or organization occur. Instructions for preparation and the format of the staffing plan are provided in enclosures (2) and (3).

(8) Submit the annual staffing plan to SEA 05A4 within 30 days of receipt of the ceiling and high grade allocations for the fiscal year or of any revisions to assigned ceiling or high grades.

(9) Ensure that military and civilian personnel who have significant responsibilities for managing civilian positions are evaluated annually on their position management effectiveness. The evaluations are to be used in connection with performance appraisals, awards based on performance, and military effectiveness reports. Supervisors and managers will be evaluated on their judicious establishment of positions, changes to or abolishment of them, and substantive recommendations or decisions with regard to organizational design and staffing plans.

(10) Establish control systems which will focus on reorganizations, individual classification actions, and reviews of vacant positions for essentiality.

PETER M. PALERMO
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POSITION MANAGEMENT CRITERIA

Position management criteria are designed to assure efficient distribution of staff resources and to aid in identifying, preventing, and eliminating unnecessary organizational fragmentation, excessive layering, excessive use of deputies and assistants, improper design of jobs, and inappropriate span of control (also known as supervisory ratio).

Position management criteria, which follow, will be applied to the maximum extent practical. In the absence of compelling reasons for deviation, the criteria shall be used for developing new organizations and positions, evaluating, and reorganizing existing ones. There may be some instances where rigid adherence to these criteria would be counter-productive. In such cases, the burden of proof for waiver of compliance with such criteria rests with the requesting manager or organization and must be justified on a case-by-case basis.

1. Organizational

a. A "flat" organization should be sought with a minimum of supervisory layers. Such an organization simplifies vertical communications, keeping review levels to a minimum with emphasis on delegation of authority to the lowest appropriate working levels. Excessive layering and fragmentation of the organization into small specialized segments unduly restricts lower level supervisors and employees in what they can contribute and do. Communications among segments are restricted and action slows down in a "tall" organization, and fluctuations of workload become hard to handle.

b. The division of work--by function, product, purpose, etc.--should be appropriate to the work performed, considering the advantages the various arrangements offer (e.g., easier coordination and better employee development under a product arrangement; more economical use of equipment and greater consistency of technical decisions under a functional arrangement).

c. Any duplication or overlap with other organizational segments should be because of operational needs. The reasons for overlap must be documented.

d. Where funds or other controls prevent 100% staffing of the organization, "must do" functions are more fully staffed than "should do" functions.

e. Staffing should be based on average rather than peak workload, using work measurement criteria and considering workload trends.

f. If the mission is expanding, staff (especially supervisory) should not be added too far in advance of the time the workload becomes actual.

g. Support and service segments should not be unduly large in relation to "producer" segments. The feasibility of a centralized service arrangement or cross-service agreements with other activities should be considered.

h. Positions should be designed in accordance with the Department of the Navy Affirmative Action Plan to the extent feasible for recruitment or

advancement of disadvantaged persons (members of minority groups, handicapped, etc.) by creating special entry or intermediate positions.

i. The structure of an organizational segment should provide a reasonable balance of trainee and junior level positions, based on the estimated replacement needs for journeyman and senior level positions and the availability, both internally and in the labor market, of trained employees to meet these needs. In situations of a limited local labor market of trained employees, the hiring of trainee and junior level positions provides and cultivates a new market within the organization.

j. Promote employees above the journeyman level only when there is more work above that level than can be performed by the supervisor personally or by existing employees already above the journeyman level.

2. Supervisory Positions

a. Supervisory positions will be created only to head officially established organizational segments (divisions, branches, sections, etc.), and supervisory positions are to reflect a reasonably broad span of control. Minimum span of control for first level supervisors is four substantive, permanent personnel performing the "line" work of the organization; at higher levels a minimum of three organizational segments are normally supervised. The reasons for departure from these minimum standards will be documented.

b. In many instances, the span of control can be much larger. A "proper" span of control depends on the work to be done, the kinds of people supervised, and the controls available. Thus, when subordinates' ranks or grades are justified, at least in part, by the absence of detailed supervision, when workload is stable, and/or when policy and procedures are well established, the supervisor should be able to direct the work of substantially more subordinates than the minimum.

c. In evaluating span of control ratios, only positions which are filled or for which active recruitment is in process will be considered. Secretarial or clerical positions which are not directly involved in producing the substantive workload of the unit should not be counted in computing ratios.

d. All supervisory allocations must be based on directly applicable standards, on the base level of work concept as outlined in the Supervisory Grade Evaluation Guide (SGEG), or on a sound determination of values for Factors I and III of the job grading standard for supervisors under the Federal Wage System. Base level of work must be properly evaluated.

e. Organizations which do not exceed the maximum of the size ranges shown in Parts I and II of the SGEG are not, in the absence of special circumstances, to be fragmented simply to create additional supervisory positions. For example, a unit of eight or fewer employees in a narrow span of control work situation under Part I of the SGEG should not normally be divided into two units to create promotional opportunities.

f. Positions occupied by military officers should reflect actual program responsibilities to clarify questions of fragmentation and organizational layering, and to reflect an integrated civilian/military organization in all position management considerations.

g. If the position is that of a "team leader" or "group leader," there is sufficient need to establish and/or support the continuance of the position based on differences in the kind, level, and variety of work of the "leader." These positions should direct and coordinate the efforts of others for at least fifty per cent of the time before additional "leader" positions are established.

3. Deputy Positions

a. Deputy or assistant supervisor positions add another level to the chain of command and may create delays in decision making while also increasing the likelihood of duplication of work. The need for a deputy position is not "automatically" indicated by organization echelon, but should be documented against the criteria below.

b. Deputy or assistant supervisor positions are appropriate when the supervisory workload is too much for one person. In addition, the work can be divided so as to occupy two positions substantially full time after maximum delegations of authority to lower levels have been made. The deputy must participate with the principal in carrying out the management responsibilities and act with full authority over all significant work aspects of the organization during the principal's frequent absence or unavailability. Additional factors to be considered are degree of supervision required over subordinates, work complexity, priority, variety, and dissimilarity of functions. Deputy or assistant supervisory positions are to be reviewed on a case-by-case basis for actual need prior to establishment or continuation. Deputy positions are not authorized at branch level or lower, except in very unusual situations.

4. Staff Positions

a. Staff positions may be established to provide special assistance, administrative controls, advice or service to a line official, or to perform a function which is of limited duration or does not require the minimum number of persons needed to warrant the establishment of a line organization. However, unnecessary staff and/or assistant positions tend to cause staff-line conflicts. In order to keep the number of such staffs to a minimum, it is preferable to combine functions in regular line organizations. Normally staffs will not be established below the division level, and in most instances no internal organization within a staff will be established. Staffs shall be considered to be one echelon below the organization to which they report.

5. General

a. If a projected level of performance or program responsibility is the basis for a current allocation, full performance or the assumption of such responsibility should be realized within six months from the time of such allocation.

b. New or revised position descriptions will clearly define the positions and indicate the time percentages for all the duties. Grade controlling duties will consist of a minimum of fifty per cent of the time when the unit has more than one position performing similar types of work.

SUMMARY OF POSITION MANAGEMENT STANDARDS
(Basic Criteria to Determine the Adequacy of Positions and Position Structures under the Navy's Position Management Program)

A. The Structure as a whole: Is This the Best Structure?
Consider:
(1) Is this the best division of functions among units?
(2) Are delegations of authority made to the proper places?
(3) If it is a service function, is it properly located?
(4) Is the structure simple and consistent?

B. In Relation to Activity Allowances: Can You Have the Position At All?
Consider: Funds, ceiling, ratios established by higher authority.

C. In Relation to the Organization: Is the Position Necessary:
Consider:
(1) In relation to funds and ceiling for the organization, does the priority of its work justify creating the position?
(2) Can need for the work be diminished or eliminated by: revising work flow, redistributing responsibility, using new or different machines and equipment?
(3) Can the work be absorbed by other positions?
(4) Does the proportion of senior, journeyman, and junior positions closely relate to the frequency with which tasks calling for skills of each type occur in the normal workload?
(5) Would creation of the position distribute high-level or scarce skills among several positions?
(6) Do high-level positions or those involving scarce skills have some tasks that do not require specialized training and which could be assigned to other positions?

D. The Position in Itself: Does the Position Fit into the Organization?
Consider:
(1) Is there overlap, duplication, or conflict of work?
(2) Are lines of authority clearly defined and described?
(3) Are the number of supervisory positions at a minimum?
(4) Are there unnecessary deputies or assistants?
(5) Is the span of control unnecessarily narrow?
(6) Is the position's function and role in the organization a matter of record?

E. In Relation to Personnel Management: How About the Human Element?
Consider:
(1) Would a rearrangement of tasks: Improve the motivation aspects of the work? Reduce the number of dead-end positions? Reduce turnover, sick leave, absenteeism?
(2) Are the skill levels or combinations of skills realistic in terms of the labor market?
(3) Is there an adequate career ladder?
(4) Does the work prepare an employee for higher-level work?
(5) Does the position help implement special employment programs (equal opportunity, physically handicapped, summer hires, etc.)?

INSTRUCTIONS FOR PREPARING STAFFING PLANS

1. General

a. All staffing plans are to be submitted to COMNAVSEA (SEA 05A4) within 30 days of receipt of ceiling/high grade allocations for the current fiscal year. The forwarding letter and subsequent page changes are to be signed and dated by the Commanding Officer.

b. Staffing plans will be developed on the basis of the present rank or grade for each authorized position in the organization. Include all authorized billets (military) and positions (civilian--SES, GM, GS, WB, temporary, COOPs, etc.).

c. The total number of positions shown in Column 6 must agree with the current year military allowance, civilian ceiling, SES, and high grade allocations.

d. Encumbered positions should be shown at present rank or grade level. Vacancies should indicate proposed rank or pay schedule, series, and grade.

2. Column Entries

a. Column 1: Enter organizational title of the position (not position classification title).

b. Column 2: Enter organizational code. Do not assign codes to individuals; assign codes only to organizational entities and to designated staff positions.

c. Column 3: Enter initials and last name of current incumbent or the word "vacant" if the position is not occupied, or "proposed" if the intent is to create a new position (not yet classified). If an existing encumbered position is to be abolished, so note in the "Remarks" column.

d. Column 4: Enter the present rank and designator of a military incumbent or the series and grade of a civilian incumbent. If position is vacant, enter proposed recruitment/entry level.

e. Column 5: Enter the established billet sequence code (BSC) or position description (PD) number.

f. Column 6: Enter the target position structure by showing full performance level (by series and grade) for each position; e.g., GS-1021-12. Target position structure is not to exceed the current year authorized billet, SES, or high grade allocations. Total number of positions shown in Column 6 must agree with current year military allowance, civilian ceiling, SES, and high grade allocations. Differences in Column 4 and Column 6 should be explained in Remarks, Column 7.

g. Column 7: Provide a brief narrative of actions to be taken to achieve the target position structure.

h. Column 8: Enter the appropriate position management category, shown below, for each civilian position. The cognizant line manager is responsible for ensuring that appropriate and timely corrective action is taken on positions designated as Category II or III. Higher command echelons will monitor and follow-up on corrective action on Category II and III positions.

(1) Category I: Position is soundly established as regards to funding, workload, manpower, economy, motivation, and personnel management, and is critically needed.

(2) Category II: Position is acceptable as established for continuation of encumbency only, or position is of a temporary nature and will be abolished at some future but definite date within the current fiscal year. Example: Interim position to provide for a replacement of an incumbent who will be, or is on extended leave, about to vacate the position, or is about to be detailed to another positions; or the position is involved in a transfer of function and will be subject to review and rewrite at the time transfer is effected.

(3) Category III: Position is not acceptable as constituted under any circumstances. Immediate corrective action must be taken.

3. Changes

a. Revised staffing plans are to be submitted whenever significant changes in mission, workload, or organization occur. (Significant changes are those changing Columns 1, 2, or 6).

b. Submit all changes as complete new page(s) of the staffing plan so that the new (changed) page(s) may be inserted into the basic plan. Provide a brief explanation (covering letter) for each change. Sequentially number each change and identify the change with the basic plan. (Example: Change 1 to NAVSSES staffing plan dated 12 Nov 1982).

Approved by: _____

Date: _____

SAMPLE
STAFFING PLAN
FOR
(TITLE OF ORGANIZATION)

(1) Position Title	(2) Code	(3) Incumbent	(4) Incumbent's Rank/Designator; Series/Grade	(5) Est. BSC or PD	(6) Current Year Target Position Structure	(7) Remarks	(8) Pos. Mgmt. Category
Director	SEA 09H	T. F. Smith	CAPT 1100	44444	CDR 1110		
Secretary	SEA 09HS	H. S. Lynn	GS-318-07	75114	GS-318-06	When position is vacated, will recruit at lower grade	I
Exhibit Branch							
Branch Head	SEA 09H1	P. R. Kelley	GS-1084-14	740799	GS-1084-14		I
Typist	SEA 09H1S	Vacant		731113	GS-322-04		I
Field Section							
Section Head	SEA 09H2	J. P. Pitts	GS-1084-13	751720	GS-1084-13		I
Designer	SEA 09H2	J. R. Brown	GS-1021-12	751074	GS-1021-12	When 1st GS-1021-12 position is vacated,	I
Designer	SEA 09H2	H. I. Hunter	GS-1021-12	751111	GS-1021-07	will recruit at GS-07 level	II
Designer	SEA 09H2	Proposed			GS-1021-11		I
Illustrator	SEA 09H2	L. B. Perry	GS-1020-11	761112		Abolish when vacated	II