



US Department
of Transportation
Maritime
Administration

MANUAL OF ORDERS

MARITIME ADMINISTRATIVE ORDER

REVOKES

MAO 230-3, dtd.
1-6-76

NO.

230-3

EFFECTIVE DATE

May 4, 1987

SUBJECT

ORGANIZATION AND STAFFING

Section 1. Purpose:

This order assigns responsibilities and establishes procedures for assuring that programs and functions are organized and staffed in the most economical and effective manner, and that all organizational and staffing changes are subject to a continuing and comprehensive review and justification.

Section 2. Related Order:

Maritime Administrative Order 730-312 sets forth policies and identifies responsibilities with respect to position management.

Section 3. Definitions:

3.01 For the purpose of this order, the following definitions apply:

- 1 Organization Structure - the delineation and arrangement of necessary functions into a hierarchical system of organizational components down to and including the basic organizational elements, as identified in the Manual of Orders.
- 2 Staffing Requirements - the staffing required to carry out assigned functions and responsibilities.
- 3 Personnel Ceilings - the staffing level formally allocated to Associate Administrators, Office Directors, Region Directors, and the Superintendent, U.S. Merchant Marine Academy, to carry out assigned functions and responsibilities.
- 4 Employment Ceiling - the limit on the total number of employees or full-time equivalent (FTE) employment (i.e., workyears) the Maritime Administration is authorized for each fiscal year.

Section 4. Responsibilities:

4.01 Associate Administrators, Independent Office Directors, Region Directors, and the Superintendent, U.S. Merchant Marine Academy, have primary responsibility for assuring effective organization and economical staffing of their organizations, including adherence to assigned personnel ceilings. As part of this responsibility, they shall:

- 1 Annually review their staffing requirements and upon request submit these requirements, as part of the annual "budget call," to the Office of Budget for referral to the Office of Management Services.

- 2 As programs are modified or as other conditions require, submit reorganization proposals and/or revised staffing requirements to the Office of Management Services. In submitting these proposals and requests, the following items shall be included, as appropriate:
 - (1) An explanation of the recommended change in organization structure or staffing requirements, including either a copy of the study or staff paper on which the proposal is based, or a summary of the reviews or deliberations preceding the proposal.
 - (2) An explanation of the conditions requiring the change and a brief summary of the advantages and disadvantages expected to result from the recommended change.
 - (3) An explanation of the budgetary impact of the proposal on the current year's and the next fiscal year's budget including the impact on staffing, and, if increased costs are involved, how they are justified and how it is proposed to defray them.
 - (4) A justification as to the need for any proposed new positions or positions in excess of approved ceiling.

4.02 The Office of Management Services shall:

- 1 Conduct studies of organization structures, functions, authorities, work methods, workloads, and staffing requirements of all components of the Agency, in Washington and in the field.
- 2 Collaborate with the Office of Budget in the development of policy issues and other guidance for the staffing portion of the annual "budget call" to Maritime Administration organizational components.
- 3 Review and evaluate staffing requests submitted in response to the annual "budget call" to determine their validity, taking into consideration workloads, program changes and Agency priorities, and make appropriate recommendations as to staffing requirements for inclusion in the Agency's budget for the fiscal year, and provide assistance in preparation of budget justification material for staffing requirements.
- 4 Based on the Agency's employment ceiling, as assigned, determine in collaboration with the Office of Budget and the Office of Personnel the maximum number of positions which may be allocated throughout the Agency for effective program accomplishment, taking into consideration the anticipated vacancy rate, fund availability, workload requirements, and other pertinent considerations.
- 5 Determine and recommend to the Associate Administrator for Administration personnel ceilings for each component of the Agency, including adjustments, when required; prepare and issue formal personnel ceilings, as approved, to each Associate Administrator, Independent Office Director, Region Director, and the Superintendent, U.S. Merchant Marine Academy.

6 Review and, as authorized, approve or make recommendations on reorganization proposals submitted in accordance with section 4.01 2, above:

- (1) Coordinate the review of such proposals with the Office of Personnel for comment as to personnel management implications and with the Office of Budget as to funding implications.
- (2) If the proposed change will result in a reorganization or realignment of functions which requires departmental approval, prepare and submit proposed revisions of DOT Orders 1100.60 and 1100.69 and the supporting documentation prescribed in DOT Order 1100.60 for approval by the Maritime Administrator and appropriate DOT officials.
- (3) After departmental approval, prepare appropriate revisions of the Manual of Orders, for approval of the Maritime Administrator or other authorized official.
- (4) If the proposed change will result in a reorganization or an addition, deletion, or realignment of functions which does not require departmental approval, issue appropriate revisions to the Manual of Orders in accordance with Maritime Administrative Order 200-1.

4.03 The Office of Budget shall:

- 1 Develop and issue the annual "budget call" to Maritime Administration organization components for estimates of funding and staffing requirements.
- 2 Review recommendations concerning staffing requirements, advise appropriate officials with regard to budget policy on staffing levels and program issues and incorporate approved staffing requirements in Maritime Administration annual budget requests.
- 3 Review organization and staffing proposals submitted in accordance with section 4.01 2 above as they relate to funding requirements and submit comments to the Office of Management Services, as appropriate.
- 4 Monitor the expenditure of funds for salaries and benefits and keep the Associate Administrator for Administration advised as to fund status and related matters.

4.04 The Office of Personnel shall:

- 1 Perform examining, recruiting and placement duties, encompassing both staff and operating functions for headquarters offices and for field locations, as appropriate. Conduct studies to determine probable future needs for numbers and kinds of employees. Maintain

records of past and current staffing actions to assure compliance with current and anticipated staffing allotments. Take appropriate action to increase or decrease employment, through recruitment, attrition or reduction-in-force action. Collect and prepare reports regarding employment statistics. Analyze trends and forecast needs, appropriately advising management officials.

2. Carry out the responsibilities for administration of the position management program, as set forth in Maritime Administrative Order 730-312.
3. Return to the originating office all Standard Forms 52 which are at variance with the organizational and functional alignments set forth in the Manual of Orders, for appropriate action in accordance with section 4.01 2 of this order.

Section 5. Services by Contract:

The procurement of personal services by contract, rather than by employment of Government personnel, is subject to guidelines issued by the Office of Management and Budget and the Office of Personnel Management.

Earnest Hawkins

EARNEST HAWKINS
Associate Administrator
for Administration