



DEPARTMENT OF THE NAVY
OFFICE OF THE SECRETARY
1000 NAVY PENTAGON
WASHINGTON DC 20350-1000

SECNAVINST 12351.5G
ASN (M&RA)
3 January 2012

SECNAV INSTRUCTION 12351.5G

From: Secretary of the Navy

Subj: WORKFORCE SHAPING

Ref: (a) 5 CFR 351
(b) DON Civilian Human Resources Manual, Subchapter 351
(c) DoD Instruction 1400.25, Volume 351, of 19 January 2011
(d) 10 U.S.C. §1597

1. Purpose

a. To establish and implement policy, assign responsibilities, and prescribe procedures under references (a) (b) and (c) for workforce shaping in the Department of Navy (DON).

b. This directive updates and reissues the DON's policy on requirements; delegation of authority; and the responsibilities for the announcement, approval, and processing of reduction-in-force (RIF), transfer of function (TOF) and other transfers, non-emergency furloughs, and other workforce shaping initiatives affecting appropriated fund (AF) employees covered by the General Schedule and the Federal Wage System within the DON. The announcement provisions also apply to non-appropriated fund (NAF) employees and any substantial reduction of contract employees. References (a), (b) and (c) provide additional policy and guidance to be followed in conducting workforce shaping actions. DON policy on retention credit for performance in a RIF is contained in reference (b).

c. This instruction is a complete revision and should be read in its entirety.

2. Cancellation. SECNAVINST 12351.5F.

3. Policy. It is the policy of the DON to conduct workforce shaping initiatives in such a manner as to accomplish mission

objectives while ensuring fair and equitable treatment and minimum adverse impact to DON employees. RIF and resultant involuntary separations are to be avoided to the maximum extent practicable.

4. Background. This instruction applies to all actions resulting in involuntary separation of civilian employees, all actions involving the relocation of civilian employees outside the commuting area, and furloughs resulting from workforce and workload adjustments, reorganizations, resource limitations, base closure, contracting-out determinations, mission changes, and similar causes. The reporting requirement and the subsequent congressional notification provisions apply to appropriated and NAF positions and reduction in employment of 100 or more contract employees.

5. Responsibilities

a. The Assistant Secretary of the Navy (Manpower and Reserve Affairs) (ASN(M&RA)) is responsible for the issuance of workforce shaping policy and for delegations of authority in the DON.

b. The Deputy Assistant Secretary of the Navy (Civilian Human Resources) (DASN(CHR)) is responsible for the management and direction of the workforce shaping program in the DON and for the issuance of directives on specific workforce shaping matters.

c. The Director, Office of Civilian Human Resources (OCHR) is responsible for interpreting statutory and regulatory guidance as it is received and for the preparation of implementing guidance as applicable.

d. Directors of Human Resources Service Centers are responsible for ensuring that the policies and procedures in workforce shaping matters are in compliance with this instruction by:

(1) Providing workforce shaping services for their serviced population.

(2) Taking action to correct workforce shaping errors promptly and ensuring that workforce shaping decisions directed by the DON, Department of Defense (DoD) and or Office of Personnel Management (OPM) are implemented without delay.

e. The Chief of Naval Operations (CNO), the Commandant of the Marine Corps (CMC), and the Department of the Navy/Assistant for Administration (DON/AA) are responsible for assuring that this policy is implemented within their respective organizations.

f. The Heads of Major Commands are responsible for:

(1) Ensuring subordinate commands and activities comply with statutes, regulations, policies, and guidance from higher level authorities, e.g., DASN(CHR), DoD, and OPM.

(2) Implementing delegation of workforce shaping authority per DON policy.

(3) Ensuring that subordinate activities are provided or aligned with sufficient resources to ensure effective workforce shaping program accomplishment.

(4) Providing advice and guidance on workforce shaping matters to subordinate commands and activities.

(5) Conducting periodic assessments of workforce shaping programs at subordinate activities to evaluate their effectiveness.

g. Directors of Civilian Personnel Programs are responsible for advising and assisting major commands in the execution of workforce shaping initiatives.

h. Directors of Human Resources Offices are responsible for ensuring that the policies and procedures in workforce shaping matters are in compliance with this instruction by:

(1) Advising activity managers and supervisors on the proper execution of their workforce shaping authorities and responsibilities.

(2) Ensuring that appropriate workforce shaping training is provided to all individuals exercising delegated workforce shaping authority.

(3) Assisting heads of commands and activities in the conduct of periodic self-assessments of their workforce shaping programs.

i. Managers and Supervisors are responsible for:

(1) Implementing and executing workforce shaping at the local command level.

(2) Ensuring that actions are accomplished following applicable DON, DoD, and OPM guidance and criteria when exercising delegated workforce shaping authority.

6. Delegation of Authority. The authority of the Secretary of the Navy (SECNAV) to approve RIF, furlough, and TOF or other related transfers (i.e., transfers of work) outside of the commuting area is delegated to ASN(M&RA). The authority to approve a TOF and other related transfer or a RIF resulting in the involuntary separation of fewer than 50 employees is re-delegated to the CNO, CMC, DON/AA, and the heads of Navy echelon 1 and 2 commands. Authority to establish competitive areas and levels is delegated to the CNO, CMC, DON/AA, and the heads of Navy echelon 1 and 2 commands and may be further delegated to the heads of activities or commands.

7. Requests for RIF Authority. Documentation must be forwarded to the approving official and include the rationale for establishing the specific competitive area used in the RIF. Additionally, a copy of all RIF authorization letters issued by approving authorities shall be provided to the DASN(CHR). These approval provisions do not apply to NAF positions, foreign national positions, contract positions or displacement actions caused by the exercise of statutory return rights.

8. Announcement. To fulfill the notification requirements of references (a), (c) and (d), the DON will issue a single annual notice to Congress of all planned RIF actions involving the involuntary separation of AF and NAF civilian employees (including closure of installations), TOF and other transfer actions that will result in the relocation of civilian employees

outside the local commuting area, and anticipated reduction in employment of 100 or more contractor employees. The following describes the process that will be followed in notifying Congress:

a. DASN(CHR) will issue an annual data call to CNO, CMC, DON/AA and Navy echelon 1 and 2 commands for information on RIF, covered TOF or other transfer actions, and termination of contractor employees for the upcoming calendar year. Data should be consistent with the command's budget projections. The submitted data must include the reason for the action, the number of employees affected and the proposed effective dates. DASN(CHR) will coordinate the data with the Assistant Secretary of the Navy (Research, Development and Acquisition), the Assistant Secretary of the Navy (Energy, Installations and Environment), the Assistant Secretary of the Navy (Financial Management and Comptroller) (ASN(FM&C)), and the Chief of Legislative Affairs.

b. After ASN(M&RA) authorization, the notice will be provided to the DON Office of Legislative Affairs (OLA) who will submit a request for notification, through the Deputy Assistant Secretary for Civilian Personnel Policy, to the Office of the Assistant Secretary of Defense for Legislative Affairs to announce the planned actions to the affected Members of Congress.

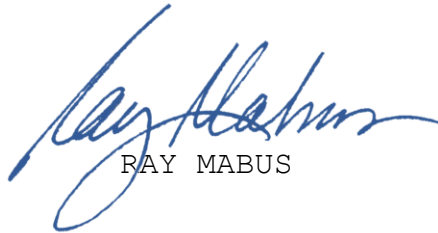
c. For covered actions not included in the annual congressional notification, such as any potential furloughs, or where involuntary separations will significantly exceed the announced impact, notification must be provided to the ASN(M&RA) through the DASN(CHR) at least 90 days prior to issuance of public announcement or employee notices. Notification must contain all the information identified on SECNAV 12351/1 RIF/TOF/Furlough Fact and Justification Sheet. The DASN(CHR) will coordinate this notification with the ASN(FM&C) to ensure budget projections are in line with planned RIF execution and the OLA to identify potential issues that may impact on the planned action. If issues are identified which cannot be resolved within the 90-day advance notice period, the appropriate command or activity will be advised to cancel or modify the proposed action pending resolution. A response with approval to proceed with RIF will be provided to major commands by OCHR.

9. Records Management. Records created as a result of this instruction, regardless of media and format, shall be managed per SECNAV Manual 5210.1 of November 2007.

10. Forms and Reports Control

a. Forms. SECNAV 12351/1 RIF/TOF/Furlough Fact and Justification Sheet can be downloaded from Naval Forms OnLine at <http://navalforms.daps.dla.mil/web/public/home> and from the DON OCHR Web site at <http://www.donhr.navy.mil>.

b. Reports Control. Reports contained within this instruction are exempt from reports control per SECNAV Manual 5214.1 of December 2005.



RAY MABUS

Distribution:

Electronic only, via Department of the Navy Issuances Web site <http://doni.daps.dla.mil/>