



**DEPARTMENT OF THE NAVY**  
COMMANDER, NAVY INSTALLATIONS COMMAND  
716 SICARD STREET SW, SUITE 1000  
WASHINGTON NAVY YARD, DC 20374-5140

CNICINST 5310.1  
N12

CNIC INSTRUCTION 5310.1

**AUG 24 2009**

From: Commander, Navy Installations Command

Subj: SHORE MANPOWER OPTIMIZATION PROGRAM

Ref: (a) DoD Instruction 5010.37, Efficiency Review,  
Position Management and Resource Requirements  
Determination, 17 Nov 87  
(b) DoD Directive 1100.4, Guidance of Manpower  
Management, 12 Feb 05  
(c) FY09 National Defense Authorization Act  
(d) OPNAVINST 1000.16 (Series)  
(e) Navy Total Force Manpower Requirements Handbook

Encl: (1) CNIC SMR Process  
(2) SMR Preparation Checklist  
(3) SMO Letter of Notification templates  
(4) SMO Implementation Letter templates  
(5) SMR Coordination/Application Flow  
(6) Menu of Manpower Engineering Methodologies

1. Purpose. This instruction establishes Commander, Navy Installation Command's (CNIC) general policies and procedures for the Shore Manpower Optimization Program (SMOP) to conduct Shore Manpower Requirements studies. In compliance with congressional and DoD guidelines, Total Force Manpower Requirements will be reviewed every four years to maintain minimum manpower in accordance with guidelines specified in references (a) through (e) and as outlined in enclosures (1) through (6). The intent of this instruction is to provide general guidance and direction on the determination of shore manpower requirements. Manpower requirements define the quantity of personnel required to perform the Navy's work with the appropriate skill set. Effective immediately, all CNIC manpower requirements and manpower optimization processes will fall under the purview of CNIC HQ N12. Prior to initiating any manpower requirements determination processes, requests will be submitted, approved, and coordinated by CNIC HQ N1.

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2. Scope. The provisions of this instruction are applicable throughout CNIC organization. This instruction is new and should be reviewed in its entirety once a year from date of issuance.

3. Guiding Principles. Approved manpower requirements are the basis for programming manpower authorizations and are given resource consideration by resource sponsors during planning, programming, budgeting, and execution cycles. Manpower requirements are driven by workload and shall be established at minimum levels necessary to accomplish mission and performance objectives. Activities should be organized to promote efficient and effective operations, maximize the return on investment at resources execution, optimize personnel utilization, and maintain a standard level of productivity.

4. Administration. CNIC HQ N1 has the authority to provide additional policy or technical guidance to achieve the objectives of this instruction. The procedures set forth in this instruction will be followed unless a waiver is approved by CNIC HQ N1. Waiver requests must include a justification reflecting changes to the mission, functions, and/or tasks; changes in equipment requirements; changes in workload; or process improvement initiatives. CNIC Deputy Commander/Executive Director is the designated authority to endorse final Statement of Manpower Requirements (SMR) for implementation.

a. Commander, Navy Installations Command (CNIC) shall:

(1) Exercise overall management of the Total Force Manpower Program (TFMP) and provide for the implementation and administration of the Shore Manpower Optimization Program within CNIC.

(2) Serve as final adjudication authority for unresolved manpower issues.

b. CNIC Deputy Commander/Executive Director (ED) shall:

(1) Serve as signature authority for manpower requirement determinations studies/models.

(2) Provide additional policy, as necessary, to

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achieve the objectives of this instruction.

c. Total Force Manpower Director (N1) shall:

(1) Review the process to organize and improve effectiveness and quality of manpower determination practices.

(2) Ensure that guidance is issued concerning TFMP implementation/modification of policies and procedures, and that said policies and procedures do not conflict with directives from higher authority.

(3) Program resources to execute CNIC Shore Manpower Optimization Program.

d. Manpower Optimization Program Director (N12) shall:

(1) Ensure adherence to the provisions of this instruction.

(2) Coordinate exceptions needed and provide for program improvements.

e. Shore Manpower Optimization Team Program Manager (SMOT PM) shall:

(1) Develop a shore activities and related program review schedule that meets the specifications addressed in reference (c).

(2) Coordinate recommendations for changes in policy, standards, procedures, and practices within CNIC, including proposed improvements and changes to this instruction.

(3) Provide guidance and technical assistance to CNIC organizations in developing, establishing, managing, and improving their processes and functional requirements.

(4) Submit recommendations for requirement changes, together with the justification and background data to CNIC HQ N12.

(5) Identify/assign SMOT Team Lead (TL) for each project.

(6) Assign and distribute workload to SMOT

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personnel and review team products to ensure compliance with requirements of the SMOP.

f. Headquarters Program Directors (HPDs) shall:

(1) Coordinate necessary assistance for all SMOP issues within their given purview.

(2) Ensure appropriate subject matter experts are available at the region and installation level to support the Shore Manpower Optimization Team (SMOT).

(3) Ensure cooperation between program activities and the SMOT.

(4) Provide documentation/assistance to the Shore Manpower Optimization Team Program Manager, when requested.

g. Shore Manpower Optimization Team (SMOT) shall:

(1) Provide in-brief and out-brief to appropriate Program/Function personnel.

(2) Develop models and equations to determine and validate manpower requirements at the program level within CNIC in support of SMOP. In addition, utilizes the menu of Manpower Engineering methodologies contained in enclosure (6) to conduct SMRs.

(3) Perform manpower requirements studies in compliance with OPNAV Instructions and the Navy Manpower Requirements Determination Program responsibilities. In addition, utilizes the menu of Manpower Engineering methodologies contained in enclosure (6) to conduct Shore Manpower Requirements studies. The SMOT TL shall have positive control of the study to include sample size and site selections.

(4) Maintain files/records of completed manpower model development/modification to include references and supporting documentation provided/developed by HPDs, Region Program Directors, SMOT, and other authoritative sources.

(5) Provide guidance and technical assistance to CNIC regions and activities in developing, establishing, managing, and improving their manpower processes.

h. Region/Installation Manpower/Manning Program Manager shall:

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(1) Ensure the SMOT is provided appropriate cooperation (i.e., requested documentation or assistance) and adequate facilities (i.e., desks, chairs, telephone lines, computers, and computer ports, etc.); in a timely manner when a SMOP study is performed in one of their activities.

i. CNIC activities shall:

(1) Provide the SMOT with facilities, equipment, and supplies necessary to accomplish.

(2) Provide appropriate assistance and documentation, when requested by the SMOT.

5. Process and Procedures. The SMOP requirements and validation determination process is systematic and requires a sequence of activities. Enclosures (1) and (5) provide a picture of these sequential activities. These activities can produce models that will provide program directors and managers, at all levels, a viable tool for use in their changing environments. Enclosure (1), the single-site SMR study, updates existing AMDs and supports the Navy's Total Force management process.

a. Schedule. SMOT Program Manager (PM) will develop, publish and maintain a schedule to ensure all CNIC manpower is validated over a four year period, fulfilling Congressional and DoD directives. This schedule will project when SMR studies are conducted and may change depending upon senior leadership priorities. The SMR schedule will cover all programs over a four (4) year period per ref (a). The schedule will also include proposed measurement locations that account for a representative cross section of sizes and types of function codes within the organizations. The total number of proposed measurement locations will include a minimum of 15% of the total locations available.

b. Request. A request may be made by a HPDs/Region Commanders/Installation Commanders to initiate a SMR study. Request for a schedule change or addition to the schedule of program function may be initiated by a HPDs/Region Commanders/Installation Commanders to the SMOT PM. If the request is initially generated by an installation or Region, it must be forwarded through the proper chain-of-command to the HPD, who approves the request. Only the CNIC Chief of Staff or ED may disapprove a request. An

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approved request will be forwarded to CNIC HQ N12, a disapproved request will be returned to originator with rationale for disapproval.

(1) The request may be informal and forwarded in letter, memo, or email form to CNIC HQ N12 for processing and coordination.

(2) CNIC HQ may initiate a SMR study and notify the HPD as appropriate. The applicable, signed letter of notification (enclosure (3)) from CNIC HQ N1 will advise the appropriate parties of a planned SMR study.

c. Coordination. Ninety days prior to the scheduled SMR study, the SMOT PM will notify the respective HPD, Region N1's and affected N-Codes of the planned study. This notification will include a tasking to the HPD/Region N1's and affected N-Codes to identify appropriate subject matter experts (SMEs) who will take part in a workshop to develop the measurement methodology and to serve as the main point(s) of contact throughout the study. The HPD/Region N1 and affected N-Codes will also be tasked to provide Mission, Functions, and Tasks (MF&T) instructions to verify the currency of existing statements.

Additionally, the HPD/Regions N1 and affected N-Codes are tasked to provide full-time equivalent (FTE) totals, acquired from locations' comptrollers, and contract support data to reflect the appropriate mix of military, civil service and private sector for all locations within their functional area of study per reference (d). Guidance provided in reference (d) supports strategic planning and daily management of DOD workforce and may drive the need for data not readily available. The notification will also include proposed measurement locations and a tentative date for the SME workshop.

(1) The HPD, after coordination with region program directors and region N1s, endorses the notification letter, verifies/approves the selected measurement locations, and provides the required POC(s) and MF&T information.

(2) Upon receipt of endorsement from HPD, the SMOT Team Lead (TL) will take positive control of the study.

(3) To satisfy the statistical needs of the study, the SMOT PM is responsible for selecting sample sites and coordinating the team's travel plans. The SMOT TL, in

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collaboration with the functional POC(s), determines time and location of the Shore Manpower Optimization Modeling Workshop.

(4) To facilitate site visits, the SMOT is authorized direct liaison with appropriate points of contact at the measurement sites. The SMOT PM shall keep the respective HPDs/Region Commanders/Installation Commanders aware of major issues/concerns surrounding the study. The respective HPDs/Region Commanders/ Installation Commanders, in turn, will also keep CNIC HQ N12 informed of significant events/issues/concerns surrounding these studies.

6. Action. The SMOT, contract support, and program SMEs will work together to develop manpower requirement determination models. These models provide objective measurable manpower justification for the Program Objective Memorandum (POM)/Program Review (PR) process; determine requirements when workload increases or decreases; and can be used to conduct "what-if" scenarios, providing valuable assistance to HPDs in making decisions in manpower resources allocation.

#### 7. Planning

a. The SMOT PM will notify the appropriate HPD of the pending study and assign a SMOT TL.

b. The SMOT TL will contact the appropriate POCs identified by the HPD to conduct functional background reviews and schedule workshop activities.

c. The SMOT will maintain open communications with all parties, with a focus on minimal disruption of daily work activities. Whenever feasible, existing information and data call results will be used.

d. The SMOT PM and TL will discuss the schedule of the SMOT with the HPD/Region N1s and affected N-Codes to develop the Plan of Action and Milestones (POA&M). The SMOT TL will provide the HPDs and Region N1s updates to the POA&M, when appropriate.

e. The HPD will inform the SMOT TL of any program process improvement actions underway prior to development of the POA&M.

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## 8. Data Gathering

a. The SMOT will conduct a preliminary review and data analysis based on the information provided by all or any of the following: SMEs, HPDs, and data systems.

b. The SMOT may request additional information from the program chain-of-command as necessary to gain a better understanding of program responsibilities.

c. Performance Work Statement measurement, developed in the Shore Manpower Optimization Modeling Workshop, will be conducted at the identified/approved locations. Additional data requirements will be determined by the SMOT TL and coordinated with the functional/program POCs/SMEs.

d. In support of the most efficient use of site visit opportunities, the SMOT may forward preparatory audit documents for completion prior to analyst(s) arrival. The goal of the SMOT site visit is to ensure the least amount of disruption to the workplace, with the greatest amount of organizational participation.

e. The SMOT TL will address any concerns/issues with the SMOT PM and HPD.

9. Data Analysis. Once data gathering is complete, data will be analyzed using commonly accepted manpower engineering techniques.

## 10. Documentation and Reporting

a. A "DRAFT" SMR report including peacetime and mobilization manpower requirements will be provided to the HPD and affected Region Front Offices via the Taskers System. The Region Front Offices are requested to forward the report to their N1 manpower representatives and affected program representatives for review and comment. This review and comment period will be no longer than 15-calendar-days. If no response is received from concerned parties after the review period, concurrence will be assumed. Comments and resolutions, if necessary, will be recorded in the reclama section of the report. Any comments requiring adjudication will be forwarded to the CNIC ED for resolution.



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b. The supported Enterprise(s) must endorse the SMR report, concurring with the MF&T, workload, and methodology used prior to approval by CNO (N12). The applicable letter of endorsement (enclosure (4)) will be signed by the CNIC ED and forwarded to CNO N12 for approval; via Enterprise/Enabler and Commanding Officer NAVMAC for review. Once approval is received, a copy will be provided to the HPD/Region N1 and affected N-Codes.

#### 11. Implementation

a. For program-wide SMR studies, upon OPNAV approval, the manpower estimating model will be published for application. The application results will be documented in an Application Report and forwarded to the HPD/Regions N1's and affected N-Codes for implementation by the Regions.

b. For SMR studies, Region manpower representatives (N11) will prepare Total Force Manpower Management System (TFMMS) packets and submit them to CNIC HQ N11 for review within 30 days after receiving the final report and signed letter. CNIC HQ N11 has final approval authority on all TFMMS packets related to manpower requirements. Once the SMR has been reviewed and approved by CNIC HQ N12, the final TFMMS packet will be executed by CNIC HQ N11. This process is outlined in enclosure (5).

c. Upon full implementation of the SMR, CNIC HQ N11 will notify CNIC HQ N12, and Region Manpower staffs of successful documentation.



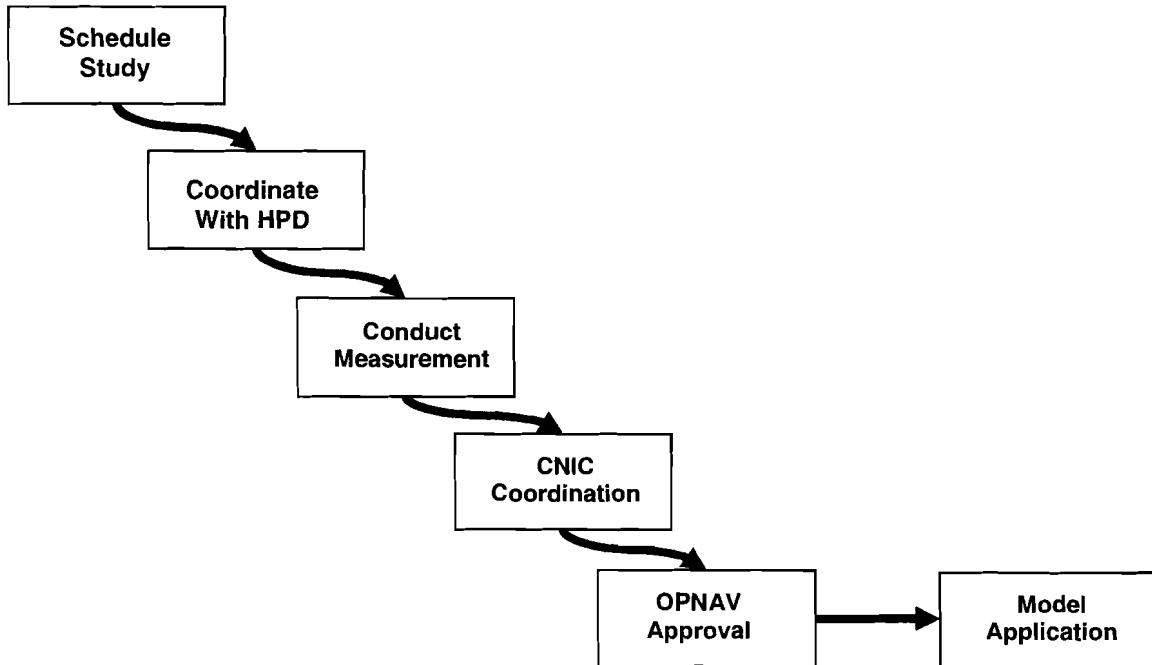
M. C. VITALE  
Vice Admiral, U.S. Navy

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**CNIC SMR MEMs Process**

1. Four Year SMR Schedule developed by SMOT PM to cover all CNIC functions and Manpower.

2. When study is due, SMOT contacts the appropriate functional Headquarters Program Director (HPD) determining study parameters such as points of contact, measurement locations and the scope of the study.

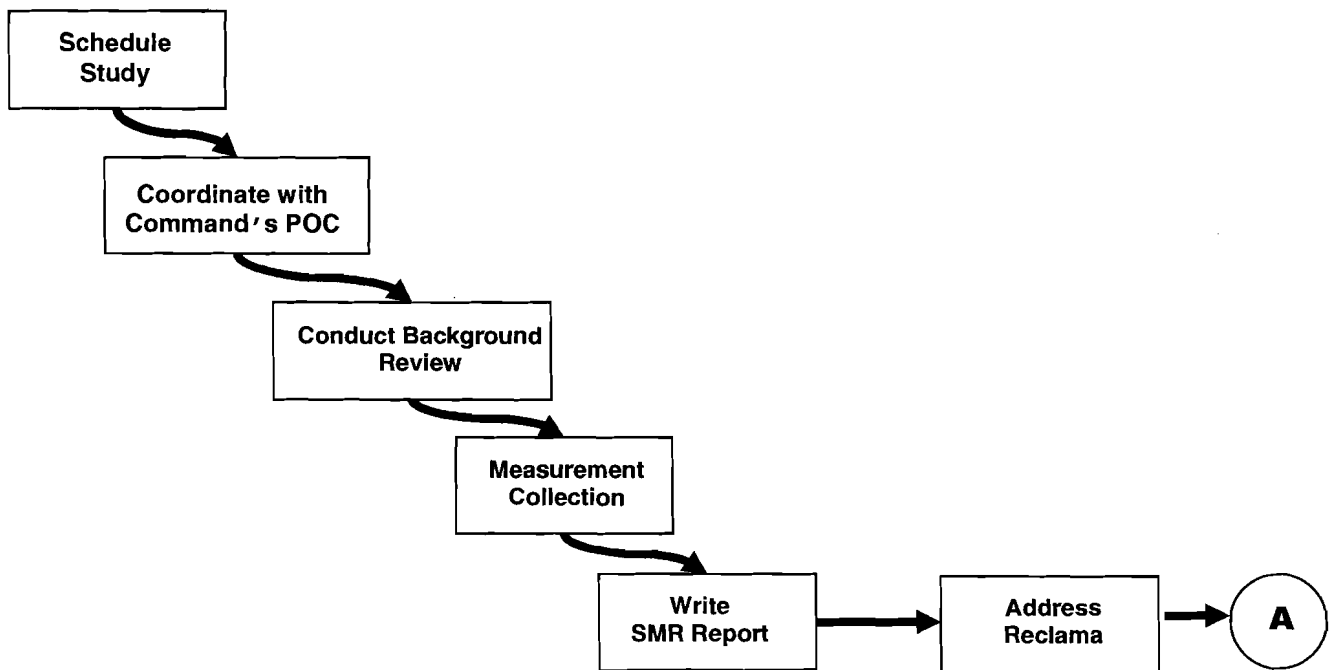
3. SMOT completes background review of function and conducts measurement at selected locations.

4. SMOT develops Measurement report coordinating with HDP addressing any reclama concerns and forwarding through N1 chain for CNIC approval.

5. CNIC approved Measurement Report forwarded to NAVMAC for review and to obtain OPNAV approval and publication of the Manpower Standard.

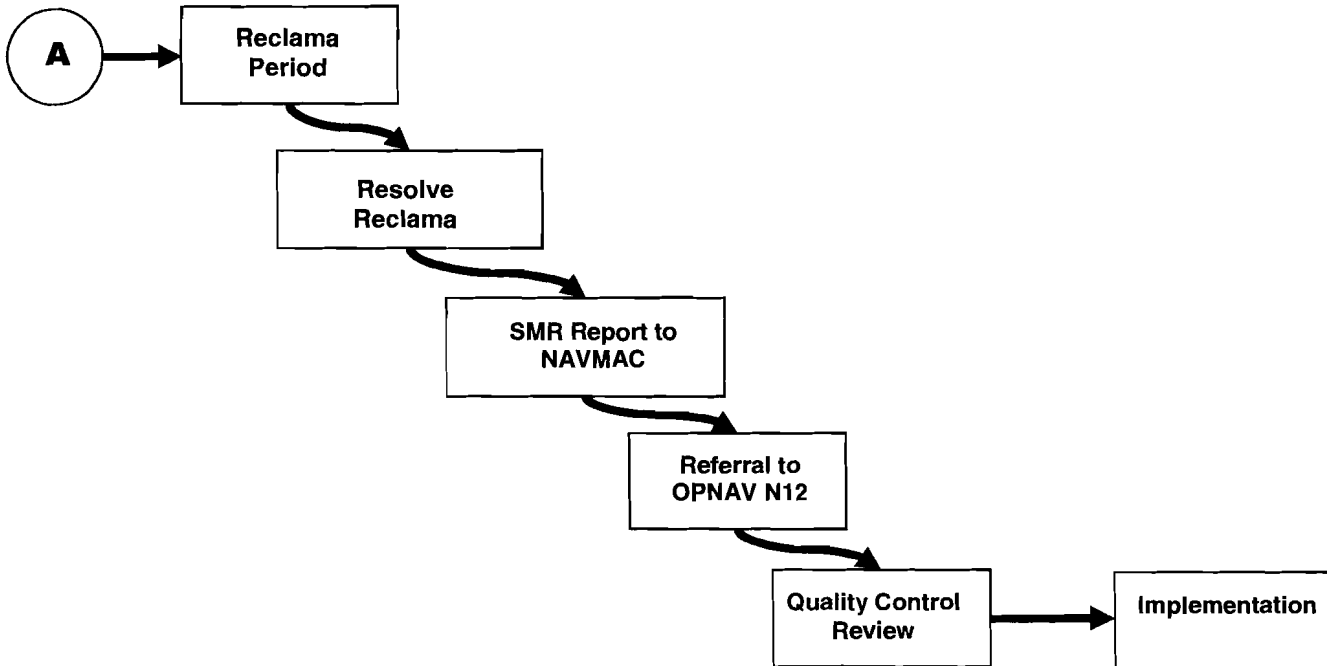
6. Region applies approved Manpower Standards per MEMs application POA&M schedule, develop TFMMS/TMMCA packet (s) to update the Activity Manning Document (AMD) to reflect updated manpower requirements. CNIC N11 reviews packets for quality control and updates TFMMS.

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**CNIC SMR Process**

1. Four Year SMR Schedule developed by SMOT PM to cover all CNIC functions and Manpower.
2. When study is due, SMOT TL contacts the Command to determine study parameters such as assigned points of contact, dates for visit and the scope of the study.
3. SMOT conducts command background review, collect baseline data and conducts measurement at the location.
4. SMOT writes a Statement of Manpower Requirements (SMR) report coordinating with the command, addressing any reclama concerns and forwarding through N1 chain for CNIC approval.

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**CNIC SMR Process**

5. A 15-calendar-days review and comment period will be granted to the command under study to submit an official reclama.

6. CNIC HQ N1 determines reclama issue (s) as necessary.

7. CNIC approved SMR Report forwarded to NAVMAC for review and referral to OPNAV N12.

8. CNIC HQ N11 reviews SMR Report for quality control and implementation.

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**SMR PREPARATION CHECKLIST**

1. Point of Contact to serve as liaison for activity and the CNIC Shore Manpower Optimization Team Lead.
2. Most current Mission, Function, and Task (MF&T) statement for activity.
3. Areas of concern that may need special attention during the study.
4. Anticipated manpower changes.
5. Information pertaining to Commercial Activities (A-76)/Functional Assessments (FA) affecting activity. Include planned and completed studies.
6. Activity organization manual.
7. Department level organization charts.
8. Current activity telephone directory.
9. Listing of personnel by name, rank/rate, or GS series broken down by organizational component. Indicate BIN/BSC for all personnel or indicate status if transient, TAD, Borrowed, Temporary hire, part-time, etc.
10. Position Descriptions (PDS) for civilians (Do not send to CNIC SMOT but ensure centrally available during study).
11. Current Civilian Full Time Equivalents (FTEs) broken down by Department and series/grade.
12. Copy of any IG Report, Naval Audit Service Report, GAO Report or similar inspection reports completed during the past three years.
13. List of contract support (do not include service contracts; i.e. janitorial, Xerox, etc.). Include name of contractor, contract number, and copy of contract Statement of Work (SOW).
14. List of Memorandums of Understanding (MOUs) and/or Inter-Service Support Agreements (ISSAs).
15. Most recent Command History.

Enclosure (2)

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**SMO MEMs LETTER OF NOTIFICATION**

## MEMORANDUM

From: Director, Total Force Manpower (N1)  
To: \_\_\_\_\_ Program Director

Subj: MANPOWER ESTIMATING MODELS (MEMs) STUDY OF  
\_\_\_\_\_ PROGRAM

Encl: (1) SMR Preparation Checklist

Ref: (a) OPNAVINST 1000.16 (Series)  
(b) CNICINST 5310.1

1. We will commence a MEMs study of the \_\_\_\_\_ Program on (date) in accordance with references (a) and (b). We expect the study to last xx weeks.
2. The MEMs study will consist of a Shore Manpower Optimization Modeling Workshop on (recommended date/timeframe) with Program/Function subject matter experts and site visits to interview and collect work measurements of tasks defined in the workshop.
3. On (recommended date/timeframe), an in-brief will be presented by the study team lead outlining the objectives of the Shore Manpower Modeling Workshop and work measurement sites visits. You are requested to provide the Shore Manpower Optimization Team analyst(s) with a brief of the Program's mission and identify any special areas of concerns that may impact the process.
4. It is requested that no activity manpower document (AMD) change requests be submitted until this study has been completed and the results approved. If there is a need to submit an urgent AMD change request prior to approval of the results of this study, it must be routed via your chain of command to CNIC N1.
5. The following members of the CNIC Shore Manpower Optimization team (SMOT) look forward to working with you on the upcoming SMR study:

NAME

POSITION

6. We request that the information/documentation listed in

Enclosure (3)

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enclosure (1) be provided to the CNIC SMOT by DAY, MONTH, YEAR.

7. My point of contact in this matter is \_\_\_\_\_.  
(name, e-mail)

Director, Total Force Manpower  
Signature Block

Copy to:  
Region(s) N1 and affected N-code(s)  
CNIC HQ N11  
OPNAV 122D

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**SMO SMR LETTER OF NOTIFICATION**

## MEMORANDUM

From: Director, Total Force Manpower (N1)  
To: \_\_\_\_\_ Program Director

Subj: STATEMENT OF MANPOWER REQUIREMENTS (SMR) STUDY  
OF \_\_\_\_\_ PROGRAM

Encl: (1) SMR Preparation Checklist

Ref: (a) OPNAVINST 1000.16 (Series)  
(b) CNICINST 5310.1

1. We will commence a SMR study of \_\_\_\_\_ on (date) in accordance with references (a) and (b). We expect the study to last xx weeks.
2. The SMR study will consist of a Shore Manpower Optimization Team data collection to commence on (recommended date/timeframe) and subsequent site visit on (recommended date/timeframe) to conduct interviews and collect work measurements data.
3. On (recommended date/timeframe), an in-brief will be presented by the study team lead outlining the objectives of the Shore Manpower Determination Requirement Study work measurement sites visits. You are requested to provide the Shore Manpower Optimization Team analyst(s) with a brief of the Command's mission and identify any special areas of concerns that may impact the process.
4. It is requested that no activity manpower document (AMD) change requests be submitted until this study has been completed and the results approved. If there is a need to submit an urgent AMD change request prior to approval of the results of this study, it must be routed via your chain of command to CNIC N1.
5. The following members of the CNIC Shore Manpower Optimization team (SMOT) look forward to working with you on the upcoming SMR study:

NAME

POSITION

6. We request that the information/documentation listed in enclosure (1) be provided to the CNIC SMOT by DAY, MONTH, YEAR.

Enclosure (3)



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7. My point of contact in this matter is \_\_\_\_\_.  
(name, e-mail)

Director, Total Force Manpower  
Signature Block

Copy to:  
Region(s) N1 and affected N-code(s)  
CNIC HQ N11  
OPNAV 122D

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**SMO MEM IMPLEMENTATION LETTER TEMPLATE**

5000

Ser CNIC/8UXXXXX

DD MMM YY

From: Commander, Navy Installations Command  
To: Chief of Naval Operations, N12  
Via: (1) Enterprise/Enabler  
(2) Commanding Officer, Navy Manpower Analysis Center

Subj: MANPOWER ESTIMATING MODELS (MEMs) STUDY FOR  
\_\_\_\_\_ PROGRAM

Ref: (a) OPNAVINST 1000.16 (Series)  
(b) SMO Letter of Notification of DD MMM YR  
(c) CNICINST 5310.1

Encl: (1) MEMs Study Final Report

1. CNIC HQ N12 has completed subject review of \_\_\_\_\_ program. The Measurement Models from this study are contained in enclosure (1) for your review and approval.

2. My point of contact for this matter is \_\_\_\_\_.  
(name, e-mail)

Deputy Commander/Executive  
Director Signature Block

Copy to:  
\_\_\_\_\_ Headquarters Program Director

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**SMO SMR IMPLEMENTATION LETTER TEMPLATE**

5000  
Ser CNIC/8UXXXXX  
DD MMM YY

From: Commander, Navy Installations Command  
To: Chief of Naval Operations, N12  
Via: (1) Enterprise/Enabler  
(2) Commanding Officer, Navy Manpower Analysis  
Center

Subj: STATEMENT OF MANPOWER REQUIREMENTS (SMR) STUDY FOR  
\_\_\_\_\_ COMMAND

Ref: (a) OPNAVINST 1000.16 (Series)  
(b) SMO Letter of Notification of DD MMM YR  
(c) CNICINST 5310.1

Encl: (1) SMR Study Final Report

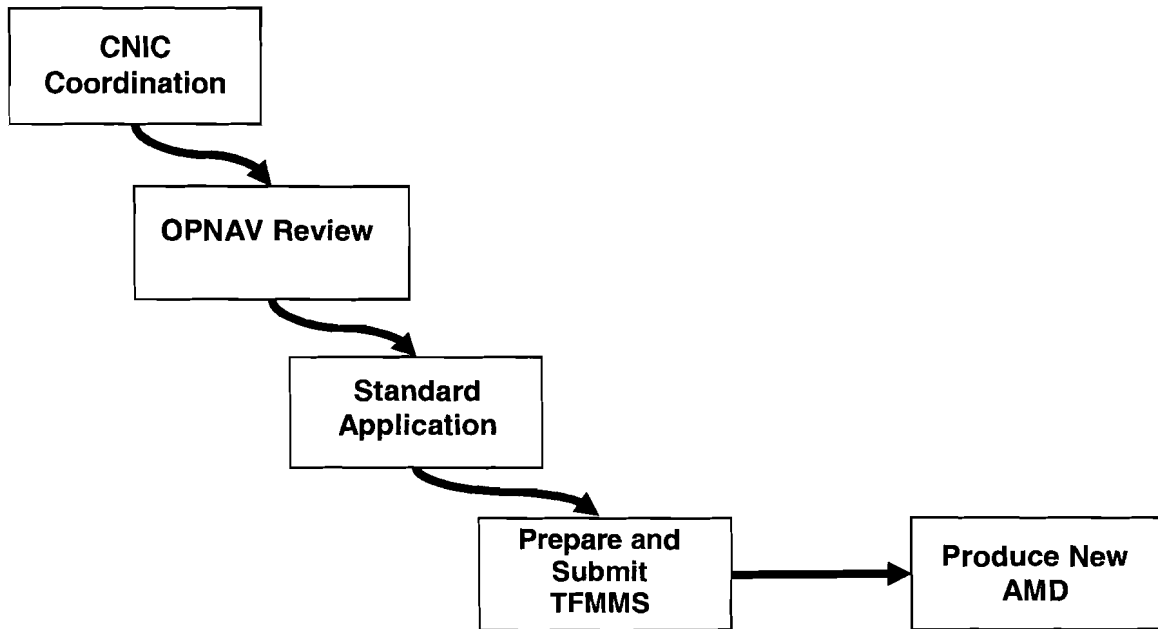
1. CNIC HQ N12 has completed subject review of \_\_\_\_\_ program. The manpower requirements of this review are contained in enclosure (1) for your review and approval.

2. My point of contact for this matter is \_\_\_\_\_.  
(name, e-mail)

Deputy Commander/Executive  
Director Signature Block

Copy to:  
\_\_\_\_\_ Headquarters Program Director

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**SMR MEMs Coordination/Application Flow**

1. SMOT coordinates the completed measurement report with appropriate CNIC HPD and ensures workload collection system is in place. The Measurement Report is then forwarded through the N1 chain to CNIC along with any reclama issues for final approval.
2. After CNIC coordination, including any adjustments due to reclama issues, CNIC approves and a copy of the measurement report for the model development is forwarded to NAVMAC for review and publication.
3. CNIC HQ N11 will task Regions Manpower Representatives via TV4 to apply Manpower Estimating Model (MEM) to all subordinate locations with the appropriate workload, FTE, and contractor data.
4. Regions N11 prepare TFMMS packages including Letter of Justification referencing the standard for requested changes and forward to CNIC HQ N11 for processing through NAVMAC.
5. CNIC HQ N11 notifies relevant HPD when system is updated and new AMDs are available.

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**MENU OF MANPOWER ENGINEERING METHODOLOGIES**

1. Industrial Engineering Studies: Utilization of commonly accepted practices of engineering to improve the development and implementation of integrated systems of people, funding, knowledge, information, equipment, material, and process.
2. Industry Standards: Comparison of private industry standards to Navy standards in related processes to make recommendations to optimize resources.
3. Operational Audit: Provide the most accurate and realistic data to determine real-time, real world scenarios at an activity.
4. Office of Management and Budget Circular A-76: Federal policy for performance of commercial activities. Process concepts contained within the Circular may be used without adverse impact to government personnel without formal competition.
5. Application of Staffing Standards: Approved manpower staffing standards applied to proposed manpower requirements.
6. Mathematical Models: Manpower determination models based on a variety of data point inputs, ranging from simple estimating equations to complex statistical equations.
7. Business Process Re-Engineering: Key major processes within shore functions assessed for potential redesign to improve service delivery.
8. Zero-Based Review: Review of mission, facilities and resources requirements without preconception of funding or requirement constraints of desired outcome or end state.