DEPARTMENT OF THE NAVY
BUREAU OF NAVAL PERSONNEL
5720 INTEGRITY DRIVE
MILLINGTON, TN 38055-0000

BUPERSINST 5400.9N
BUPERS-05
26 May 2021

BUPERS INSTRUCTION 5400.9N

From: Chief of Naval Personnel

Subj: MANPOWER MANAGEMENT FOR THE BUREAU OF NAVAL PERSONNEL

Ref: (a) OPNAVINST 5400.44A
(b) OPNAVINST 1000.16L
(c) BUPERSINST 5400.61

Encl: (1) Organization Guidelines for BUPERS
(2) Suggested Words for Function and Task Statements
(3) Sample Reorganization Request Memorandum

1. Purpose. To issue the requirements and procedures for organization structure changes to include the mission, functions, and tasks of activities under command and support of Deputy Chief of Naval Personnel (DEP CHNAVPERS), and to provide guidelines for use in aligning an activity's organizational structure with the activity manpower document (AMD). Major revision includes the removal of DEP CHNAVPERS delegating authority and responsibilities to Commander, Navy Recruiting Command for its subordinate echelon 4 and 5 activities.

2. Cancellation. BUPERSINST 5400.9M.

3. Scope and Applicability. This instruction is applicable to all Bureau of Naval Personnel (BUPERS) activities.

4. Background. Reference (a) assigns echelon 2 commanders the responsibility for ensuring mission, functions, and tasks instructions of assigned shore activities are current; issuing mission and functions instructions for each shore activity assigned to their command; and approving organizations for their subordinate shore activities. DEP CHNAVPERS delegates to BUPERS Director, Total Force Human Resource and Manpower (BUPERS-05), as the manpower budget submitting office, the responsibility to oversee and approve minor organizational changes internal to BUPERS and Navy Personnel Command (NAVPERSCOM) departments, NAVPERSCOM subordinate activities, and within Navy Manpower Analysis Center (NAVMAC). DEP CHNAVPERS will approve organizational changes between any of these organizations and between NAVPERSCOM departments. Organizational establishments and disestablishments will be approved per reference (a).

5. Submission of Organization Proposals. Reorganization proposals and establishment of new organizational elements will be submitted to BUPERS-05 for review. Proposals not submitted in sufficient detail will be returned without action until additional information is provided by the activity. Per reference (b), changes to the AMD (if required) will not be made prior to approval of the proposed organization changes. Guidelines for submitting organization changes are provided in enclosures (1) through (3) and, at a minimum, must include:

a. A memorandum that explains the background of conditions creating the need for change and summary of proposed organizational changes signed at the appropriate level;

b. Copy of current and proposed organizational charts. Charts must include all military and civilian authorized (funded) positions for affected organizational elements. Example charts are located on the BUPERS-05 SharePoint site at: https://mpte.navy.deps.mil/sites/bupers/05/SitePages/BUPERS-052.aspx; and

c. Current and proposed organization function and task statements in Microsoft Word, clearly annotated to identify revisions, additions, and deletions. Use enclosure (2) as a guide for writing these statements. These statements appear in the activity's organization manual and the activity's mission, functions, and tasks instruction.

6. Evaluation Procedure

a. Proposed changes will be evaluated to ensure compliance with guidelines and formats outlined in enclosures (1) and (2) and documented, via the reorganization request memorandum, utilizing enclosure (3). As applicable to the activity, proposed organizational changes will be submitted for review and concurrence to the appropriate command governance board (position management board or position management review board) prior to submission to BUPERS-05.

b. Per paragraph 4, BUPERS-05 is the approval authority for most minor organizational changes and will forward proposals with appropriate recommendations to DEP CHNAVPERS for approval (as required).

c. Activities will not implement proposed organization changes until notified of appropriate command-level approval and union notification is complete (as required). Revised organization charts will be forwarded to internal activities as soon as possible following approval.

d. BUPERS-05 will work closely with activities to resolve issues which may preclude approval of organization changes; however, should a proposal be disapproved, activities will receive notification, along with rationale, for the unfavorable decision.

e. Completed reorganization proposals and evaluations will be retained in the responsible manpower office.

7. Mission Statements. Mission statements are issued by an Office of the Chief of Naval Operations (OPNAV) 5450 notice. BUPERS activities must submit changes to their mission statement to BUPERS-05. The changes will be submitted to Director Navy Staff, Organization and Management Branch (DNS-33) for approval.

8. Function and Task Statements. Function and task statements for BUPERS subordinate activities are approved by DEP CHNAVPERS. BUPERS activities will submit changes to their function and task statements to BUPERS-05 via the chain of command.

9. Action. BUPERS activities will:

a. Take appropriate action to ensure they have an effective organizational structure designed to support their assigned mission. All activities must maintain an approved organization chart that depicts their current structure;

b. Issue and maintain an organization manual that reflects the approved organizational structure and further defines the functions and tasks identified in the organization's mission, functions, and tasks OPNAV or BUPERS 5450 instruction. Reference (c) may be used as an example to prepare an organization manual. Provide copies, with appropriate updates, to BUPERS-05;

c. Submit all proposed changes to mission statements to BUPERS-05;

d. Submit proposed changes to function and task statements to BUPERS-05 for DEP CHNAVPERS approval and issuance;

e. Ensure AMDs reflect the approved organizational structure using billet sequence codes derived from hierarchical structure of each organizational element; and

f. Submit manpower authorization change requests using the Total Force Manpower Management System (TFFMS), if available.

10. Management Assistance. BUPERS-05 facilitates and coordinates all organizational issues for DEP CHNAVPERS organizations and is available to assist with specific questions or for general help with organizational matters.

11. Records Management

a. Records created as a result of this instruction, regardless of media and format, must be maintained and dispositioned for the standard subject identification codes (SSIC) 1000 through 13000 series per the records disposition schedules located on the Department of the Navy/ Assistant for Administration (DON/AA), Directives and Records Management Division (DRMD) portal page at: https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/Records-and-Information-Management/Approved%20Record%20Schedules/Forms/AllItems.aspx.

b. For questions concerning the management of records related to this instruction or records disposition schedules, please contact your local records manager or the DON/AA DRMD program office.

12. Review and Effective Date. Per OPNAVINST 5215.17A, BUPERS-00D will review this instruction annually around the anniversary of its issuance date to ensure applicability, currency, and consistency with Federal, Department of Defense, Secretary of the Navy, and Navy policy and statutory authority using OPNAV 5215/40 Review of Instruction. This instruction will be in effect for 10 years, unless revised or cancelled in the interim, and will be reissued by the 10-year anniversary date if it is still required, unless it meets one of the exceptions in OPNAVINST 5215.17A, paragraph 9. Otherwise, if the instruction is no longer required, it will be processed for cancellation as soon as the cancellation is known following guidance in OPNAV Manual 5215.1 of May 2016.

A. HOLSEY
Deputy Chief of Naval Personnel

Releasability and distribution:
This instruction is cleared for public release and is available electronically only via BUPERS Web site: https://www.mynavyhr.navy.mil/References/Instructions/BUPERS-Instructions/.

ORGANIZATION GUIDELINES FOR BUPERS

1. Principles of Organization

a. Unity of Command. Each individual and each organizational element must be held accountable to only one supervisor for the performance of assigned responsibilities.

b. Span of Control

(1) Maximum number of subordinates effectively supervised by a single supervisor will vary due to such factors as:

(a) complexity of mission;

(b) dissimilarity of functional components of the organization;

(c) degree to which the nature of subordinate functions permits satisfactory operation with minimum supervision;

(d) extent of coordination required between subordinates;

(e) distance separating subordinates from the supervisor; and

(f) type of management data and communications systems.

(2) Degree to which supervisors may extend themselves by subdividing, delegating, and distributing their responsibilities is dependent upon amount of time and understanding they can devote to guiding, controlling, and motivating subordinates to full effectiveness.

(3) Span of control should be approximately 1 supervisor per 8 employees.

c. Functional Grouping. For an effective organization, each component will:

(1) Constitute a logical, separable field of responsibility: A natural subdivision of the total tasking, the scope, and jurisdiction of which can be clearly defined;

(2) Have a single, properly qualified officer, supervisor, or staff member fully accountable; and

(3) Have clearly defined boundaries which establish limits of authority.

d. Delegation of Authority. An organization will be structured to permit rapid decision making, which means the authority to act must be as close as possible to the level at which the work is performed. Supervisors at all levels will be given sufficient authority to act in all cases where review by higher authority is not absolutely essential. This minimizes the burden of management at higher levels and maximizes the challenge and stature of the individual job.

e. Minimize Layering. An organization subdivides into two or more elements, never into one. For example, a division must subdivide into at least two branches or it may not subdivide at all. The rule of "two or more" applies all the way down the line; however, an organizational element may be subdivided only when each of the elements resulting from the subdivision will have a distinct job to do and enough people to justify a supervisor (a "supervisory" position is one that meets the requirements for a supervisory title per current Office of Personnel Management classification and job-grading guidance). Function and task assignments can and should be made to single individuals or to small groups of individuals by the use of descriptive job requirements and tasks rather than by creating a fragmented organizational structure consisting of divisions, branches, sections, or units with little substance.

f. Deputies and Assistants. Deputy and assistant positions do not exist primarily for continuity. In each case, the supervisory workload is too much for one person or the supervisor is frequently away for extended periods, the deputy and assistant must make major decisions in the supervisor's absence. Such responsibility cannot be assigned on a part-time or rotating basis to other personnel. Within BUPERS activities, deputies will only be utilized at, or above, the department level of the organization.

2. Structure

a. Line. A line organization performs substantive functions that are explicitly a part of the activity's mission.

b. Staff. A staff organization supports one or more line organizations by providing advice, assistance, and service that may cross organizational lines. This type of organization is not limited to administrative functions (e.g., mail and directives, etc.), but can also apply to mission-related functions that are integral to the line components it supports.

c. Department. A line component that performs functions which constitute a substantive element of the basic mission and objective of the activity.

d. Staff Office. A staff component that provides advice, assistance, and service. Staff organizations are structured in the same manner as a line component (e.g., department or division), and maintain the same reporting channels and stature in the overall organization as the line components supported. Staff organizations will appear only at, or above, the division level and are titled "Office."

e. Division. A component that performs functions which constitute a significant segment of the total responsibility of the parent line department or staff office. Divisions can be further subdivided into staff offices, branches, sections, and units only when each of the elements resulting from the subdivision will have a distinct job to do and enough people to justify a supervisor (at least three people performing the essential, not supportive, work).

f. Special Assistant. A staff component that serves one manager for a particular subject or function and may have subordinates, depending upon the size and nature of the support function. Special assistant organizations may be structured in the same manner as a staff office component (e.g., division and branch); however, may be one distinct position supporting the activity commander or department director.

3. Mission and Functions Statement. A mission is a concise, unclassified statement; in general, a term that describes what is to be accomplished by integrated efforts of the activity as a whole. Function statements reflect the work performed in these organizational elements that support the mission and differentiate one element from another, not the duties of individuals within them. Enclosure (2) suggests action verbs that will facilitate common understanding of function statements when universally used.

4. Major Responsibilities and Tasks. Major responsibilities and tasks are performed in support of the functions. Task statements will be concise and numbered sequentially, identifying the organization code in which each major responsibility and task is performed. Major responsibilities will be written for organizational elements below the division level.

5. Titles

a. The title of the official in command will be determined based on the following:

(1) Commander. Title is normally applicable to flag officer billets or to an officer commanding more than one shore activity of the Department of the Navy (DON).

(2) Commanding Officer. Title assigned to officer billets for military heads of shore activities of DON when responsibilities are commensurate with those contained in U.S. Navy Regulations, 1990, article 0802.

(3) Officer in Charge. Title assigned to officer billets for all military heads of shore activities of DON not within the scope of criteria of the subparagraphs above.

(4) Director. Title for head of a shore activity of DON used in certain instances, normally a civilian head. When a military head, this title must be accompanied by a designation of status as "commander," "commanding officer," or "officer in charge,".

b. The title of a full-time second in command is determined by the title assigned to the officer in command of the activity. Examples are:

Officer in Command	Second in Command
Commander	Deputy Commander
Commanding Officer	Executive Officer
Officer in Charge	Assistant Officer in Charge
Director	Deputy Director

The manner in which the second in command functions at an activity is determined by the officer in command of the activity; however, any duties beyond those permitted by a strict interpretation of Navy Regulations will be clearly defined and made known within the activity. This information will also be submitted with any proposed change which has an effect on the duties assigned to the second in command. In those activities that do not require a full-time second in command, senior line managers (e.g., department directors) may be assigned the role as part of their normal duties.

c. Titles for managers at other levels within the activity should be used as follows:

(1) Director for

(a) department,

(b) division, and

(c) activity or department-level staff office.

(2) Head for

(a) branch,

(b) section,

(c) unit, and

(d) division-level staff office.

6. Organization Codes. There is no official coding structure within BUPERS organizations; however, a coding structure should be developed at each activity that is consistent and clearly delineates special assistants, staff offices, and departments.

SUGGESTED WORDS FOR FUNCTION AND TASK STATEMENTS

Functions should describe what higher authority expects from the organizational element. Task statements are significant actions that describe what is being done to accomplish the function and why the action is being done. Each function and task must be able to be tied to the mission statement and or higher-level direction. Each function and task statement should begin with a verb to show the action. Suggested words are listed below:

Accomplishes	Effects; brings to completion
Accumulates	Brings together; collects
Administers	Directs execution of work
Advises	Counsels; suggests; gives information
Allocates	Apportions; gives; distributes
Analyzes	Studies situations to discover relationships
Approves	Officially sanctions
Assigns	Allots; fixes or designates
Compiles	Gathers; collects data
Conducts	Leads; guides or directs
Controls	Exercises power to stop, start, or change
Coordinates	Brings efforts into a single action
Creates	Brings into existence; originates
Develops	Advances; furthers; promotes the growth
Directs	Regulates activity; authoritatively leads
Distributes	Divides among; allots
Establishes	Enacts; ordains with permanence
Evaluates	Appraises; ascertains the value
Executes	Performs; effects; completes
Expedites	Accelerates or facilitates the process
Implements	Carries into effect; applies a plan
Maintains	Provides upkeep; keeps from declining
Performs	Carries out; executes an action
Plans	Devises or projects a program or method
Prepares	Makes ready
Provides	Supplies; furnishes
Receives	Accepts possession of
Recommends	Suggests; proposes
Reports	Accounts for; makes known the results of actions
Requests	Asks for; solicits action or comment
Retains	Holds; maintains possession
Reviews	Surveys; examines
Secures	Keeps safe; obtains possessions
Submits	Offers a recommendation or opinion
Verifies	Proves; substantiates the accuracy

SAMPLE REORGANIZATION REQUEST MEMORANDUM
(use standard format)

Date

From: Proposing Activity, Command, or Department Head (as appropriate)
To: Director, Total Force Human Resources and Manpower (BUPERS-05)

Subj: REORGANIZATION REQUEST (more detail as appropriate)

Encl: (1) Current and Proposed Organizational Charts
(2) Current and Proposed Function and Task Statements

1. The first paragraphs should define the reorganization request and the justification for it. Address the following as applicable:

a. The organizational issue to be solved, the value of solving it, and the approach to solving it.

b. Business processes impacted by the organizational issue.

c. The desired end-state and the tangible and intangible benefits to the department and or the command of achieving this end-state. Potential benefits may include, but are not limited to:

(1) Improving process or productivity,

(2) Maximizing customer service,

(3) Minimizing management layers, or

(4) Streamlining organization to improve decision making capability

d. The consequences of the status-quo.

e. Any direction or recommendation given by higher authority to make this change.

2. The following paragraphs should address the affected billets and or personnel. Discuss the following (as appropriate):

a. What billets (billet identification numbers and grades) are proposed for transfer? From which department, division, or branch to which department, division, or branch? Attach a spreadsheet (if needed).

b. Are the billets encumbered? If so, by whom (name, grade)? Are the employees proposed to be transferred as well? (Do not notify impacted union employees until union notification is made). Will position descriptions need to be rewritten? (Consider if the entire content of the

position description will transfer with the person or only part of the work?) Is there any significant change to the employee work environment?

c. How will the movement of the billet(s) affect the remaining organization – will any reorganization be required? If so, identify proposed new (remaining) structure.

d. Are any changes to cubicles or movement or addition of equipment anticipated (e.g., computer stations, telephone, etc.)?

3. This paragraph should provide the proposed effective date of the reorganization. (If the request involves the movement of employees, this should be at least 90 days from request and at the start of a pay period).

4. This paragraph will include the following the statement: "I certify that this proposed organizational change was evaluated per the guidelines outlined in BUPERSINST 5400.9N."

5. The closing paragraph should provide the date of position management board or position management review board approval (as appropriate) and a point of contact.

SIGNATURE

Copy to:
Appropriate offices