



# Defense Health Agency

## PROCEDURAL INSTRUCTION

NUMBER 1100.01

May 16, 2019

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M&O Division

SUBJECT: Guidance for Manpower Program

References: See Enclosure 1.

1. PURPOSE. This Defense Health Agency-Procedural Instruction (DHA-PI), based on the authorities of References (a) and (b), and in accordance with the guidance of References (c) through (m), establishes Defense Health Agency's (DHA) procedures to:

a. Understand and monitor baseline manpower requirements using the quarterly-published DHA Joint Table of Distribution (JTD).

b. Request adjustments to their manpower requirements by utilizing the process of submitting Manpower Change Requests (MCRs) or Organizational Change Requests (OCRs).

c. Identify the coordination, roles, and responsibility of organizations within the DHA, including the Markets, Medical Treatment Facilities (MTFs), and other activities with respect to manpower functions. The DHA prescribes:

(1) Strategic priorities of the DHA and References referred to in Enclosure 1;


(2) How manpower is managed within the DHA; and

(3) Guidance to DHA, associated Markets, and MTF personnel.

2. APPLICABILITY. This DHA-PI applies to the DHA, Market, and MTF personnel to include: assigned, attached, or detailed Service members, federal civilians, and personnel assigned temporary or permanent duties (both Continental United States and Outside of Continental United States). DHA Headquarters (HQ), Markets, and MTFs hereafter will be collectively referred to as the DHA.

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3. POLICY IMPLEMENTATION. It is DHA's instruction, pursuant to Reference (m), that:
  - a. Fourth Estate Manpower Tracking System (FMTS) is the single authoritative manpower system for OSD, Office of the Inspector General of the DoD, non-intelligence Defense Agencies and DoD Field Activities, Joint Staff, Combatant Commands, Chairman of the Joint Chiefs of Staff controlled activities, and other organizations of the DoD not part of a Military Department.
  - b. FMTS feeds the manpower specific information into the Defense Medical Human Resource System internet (DMHRSi). DMHRSi is the authoritative personnel system of record for the DHA.
  - c. DHA authorizes DHA Manpower and Organization (M&O) Division to establish a management process that identifies, defines, and monitors all DHA manpower requirements, authorizations, organizational components and organizational structures. This includes all manpower processes for the DHA.
4. RESPONSIBILITIES. See Enclosure 2.
5. PROCEDURES. See Enclosure 3.
6. RELEASABILITY. **Cleared for public release**. This DHA-PI is available on the Internet from the Health.mil site at: [www.health.mil/DHAPublications](http://www.health.mil/DHAPublications).
7. FORMS. DHA Form 108, Manpower & Organizational Change Request, can be found on the internet at [https://info.health.mil/cos/admin/DHA\\_Forms\\_Management/SitePages/Home.aspx](https://info.health.mil/cos/admin/DHA_Forms_Management/SitePages/Home.aspx).
8. EFFECTIVE DATE. This DHA-PI:
  - a. Is effective upon signature.
  - b. Will expire 10 years from the date of signature if it has not been reissued or cancelled before this date in accordance with Reference (c).

  
R. C. BONO  
VADM, MC, USN  
Director

Enclosures

1. References
2. Responsibilities
3. Procedures

Glossary

ENCLOSURE 1

REFERENCES

- (a) DoD Directive 5136.01, “Assistant Secretary of Defense for Health Affairs (ASD(HA)),” September 30, 2013, as amended
- (b) DoD Directive 5136.13, “Defense Health Agency (DHA),” September 30, 2013
- (c) DHA-Procedural Instruction 5025.01, “Publication System,” August 24, 2018
- (d) DoD Directive 1100.4, “Guidance for Manpower Management,” February 12, 2005
- (e) DoD Instruction 1100.22, “Policy and Procedures for Determining Workforce Mix,” April 12, 2010, as amended
- (f) DoD Directive 5100.01, “Functions of the Department of Defense and its Major Components,” December 21, 2010
- (g) Public Law 110-181, Section 807, “Inventories and Reviews of Contracts for Services,” January 28, 2008
- (h) Chairman of the Joint Chiefs of Staff Instruction 1001.01B, “Joint Manpower and Personnel Program,” October 7, 2014
- (i) Chairman of the Joint Chiefs of Staff Instruction 5120.02D, “Joint Doctrine Development System,” January 5, 2015
- (j) Joint Publication 1, “Doctrine for the Armed Forces of the United States,” March 25, 2013, as amended
- (k) Joint Publication 1-0, “Joint Personnel Support,” May 31, 2016
- (l) Defense Chief Management Officer Memorandum, “Organizational Delaying Initiative Guidance,” September 11, 2015<sup>1</sup>
- (m) Directive-type Memorandum 12-006, “Fourth Estate Manpower Tracking System (FMTS),” November 15, 2012, as amended<sup>2</sup>

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<sup>1</sup> This reference can be found at: <https://info.health.mil>.

<sup>2</sup> This reference can be found at: [https://oms-u.js.ces.mil/EJMSYSU/hrdocs/DTM-12-006\\_Change%208%2013Nov17.pdf](https://oms-u.js.ces.mil/EJMSYSU/hrdocs/DTM-12-006_Change%208%2013Nov17.pdf)

ENCLOSURE 2

RESPONSIBILITIES

1. DIRECTOR, DHA, OR DESIGNEE. The Director, DHA, or designee will have authority to oversee the overall DHA organizational structure, manpower allocations and changes. Final approval authority for OCRs resides with the Director, DHA, or designee.

2. DHA ASSISTANT DIRECTORS (ADs)/DEPUTY ASSISTANT DIRECTORS (DADs).

The DHA ADs/DADs will:

a. Manage allocated manpower authorizations, within budget limits, as distributed by DHA M&O Division based upon the review and concurrence of the DHA Corporate Structure (the Senior Requirements and Resourcing Council (SRRC), Resource Decision Board (RDB), and Resource Steering Committee (RSC)).

b. Appoint two points of contact (POCs) as FMTS Position Managers in writing to coordinate with the DHA M&O Division, DHA Human Resources Division (HRD), DHA Military Personnel Support Division (MPSD), and the DHA Comptroller on the following: all manpower requirements and authorizations, funding availability, workforce data, organizational structures, and staffing matters. This includes working with contracting officer representatives within their Directorate to provide required contractor information, as requested, to the DHA M&O Division and DHA HRD.

c. Submit OCRs in Correspondence and Task Management System (CATMS) to DHA M&O Division Chief.

d. Submit MCRs in FMTS.

3. MTF COMMANDERS/DIRECTORS. MTF Commanders/Directors will:

a. Submit MCRs using the parent Market's standard MCR form and provide any required manpower information to their respective Market FMTS Position Administrator for processing.

b. Submit all OCRs to their parent Market or respective liaison for coordination and further administration as required.

c. Receive support for functions related to manpower through Market processes aforementioned. Day-to-day execution must be within the allocated manpower budget.

d. Request additional manpower requirements and authorization allocations through the Market to DHA M&O Division.

4. DHA COMPTROLLER DIVISION CHIEF. The DHA Comptroller Division Chief will:

a. Serve in an advisory capacity to the DHA Corporate Structure on manpower requirements and organizational matters related to funding.

b. Coordinate with DHA M&O Division Chief on the Program Objective Memorandum regarding civilian funding-levels across the Future Year Defense Program (FYDP).

c. Ensure any budget or programming issues are addressed.

5. DHA M&O DIVISION CHIEF. The DHA M&O Division Chief can approve MCRs and has the discretion to elevate for review and approval of MCRs that may need further review to the DAD, Administration and Management (A&M) (J-1) or the Director, DHA, for approval if needed. The DHA M&O Division Chief will:

a. Recommend annual manpower funding requirements across the FYDP to the DHA Corporate Structure for the DHA, Market, and MTFs.

b. Serve as liaison to the DHA Corporate Structure in the identification and validation of all DHA manpower requirements and authorizations.

c. Provide a centralized and cross-organizational view of manpower requirements and authorizations to ensure resourcing decisions are linked to the DHA's strategic priorities.

d. Support FMTS as the central repository of manpower requirements and authorizations. The DHA JTD can be generated from FMTS to provide an organizational and manpower report by Unit Identification Code (UIC) and includes the previous, current, and 5 future fiscal years.

e. Support development of memorandum of agreement for programmatic manpower actions.

f. Document existing organizational structure(s) and validate both OCRs and MCRs.

g. Review and approve the DHA ADs/DADs and Markets' FMTS-submitted MCRs.

h. Elevate issues to the DAD, J-1 when DHA M&O Division does not support approval. The DAD, J-1 will similarly elevate issues to the Director, DHA, when the DAD, J-1 cannot support approval.

i. Develop and maintain manpower requirement models consistent with industry and/or operational engineering best practices as outlined in Reference (e).

j. Implement and maintain enterprise delayering and organizational principles for DHA and Market-level functions per Reference (l). Delayering does not apply to activities below the Market-level. Delayering exceptions must be submitted to DHA HQ for adjudication.

k. Review and coordinate on FMTS MCRs that generate a new manpower requirement, change in grade or series to the current positions, or may impact manpower issues such as delayering, management HQ activity, and allocation changes.

l. Track MCR process times, package review, and response times that are contingent on the complexity and completeness of the input to be reviewed. The active participation of the requesting DHA ADs/DADs and Markets is critical in accomplishing the DHA M&O Division actions in a timely manner.

m. Provide updates to the Services on a quarterly basis, at a minimum. Each Service will update their manpower documents to match the DHA JTD.

6. DHA HRD CHIEF. The DHA HRD Chief will:

a. Serve in an advisory capacity to the DHA Corporate Structure on civilian workforce planning.

b. Ensure the human resources systems of record and personnel administrative processes reflect current authorized manpower information in DMHRSi.

c. Coordinate with Directorate and Market liaisons to define and provide the means and methods for DHA Directorates and Markets to maintain their respective workforce data.

d. Advise DHA M&O Division on modifications to Senior Executive Services manpower requirements.

7. DHA MPSD CHIEF. The DHA MPSD Chief will:

a. Serve in an advisory capacity to the DHA Corporate Structure on military workforce planning.

b. Ensure the DHA MPSD systems of record and personnel administrative processes reflect current authorized manpower information in DMHRSi.

c. Coordinate with Directorate and Market liaisons to define and provide the means and methods for DHA Directorates and Markets to maintain their respective workforce data.

8. DHA MARKETS. The DHA Markets will:

a. Manage manpower requirements and authorizations within the Market and their respective MTFs. Management will maintain programmed limits, as distributed by DHA M&O Division based upon the review and concurrence of the DHA Corporate Structure.

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b. Appoint two POCs in writing to serve as FMTS Position Administrators. When authorizations exceed 15,000, additional FMTS Position Administrators can be requested from DHA M&O Division. POCs will coordinate with DHA M&O Division, DHA HRD, DHA MPSD, and DHA Comptroller on the following: all manpower requirements and authorizations, funding availability, workforce data, organizational structures, and staffing matters.

(1) This includes working with the Contracting Officer's Representative within their Market to provide required contractor information, as requested, to the DHA M&O Division, DHA MPSD, and DHA HRD.

(2) FMTS Position Administrators will oversee the submission and approval of MCRs in FMTS for their respective MTFs. Markets may approve MTF MCRs within the Markets' allocated annual budget for execution.

(3) Any MCR the Markets cannot approve will be forwarded to DHA M&O Division for resolution.

(4) Review, consolidate, and provide execution reports on a recurring basis on agreed upon metrics to the DHA M&O Division for consolidation.

(5) Process manpower actions to include FMTS transactions related to MCRs.

(6) Provide input to DHA M&O Division on organizational charts, draft input on Memorandum of Agreements, Program Element Codes (PECs), military and civilian allocations, General Accountability Office reporting, and other manpower related activities.

(7) Assume authority to prioritize manpower resources within their Market that have been allocated for the current fiscal year and future years. Any proposed change to MTF organizational structure must be forwarded to DHA M&O Division for DHA HQ approval.



ENCLOSURE 3

PROCEDURES

1. OVERVIEW. The purpose of this DHA-PI is to ensure the DHA is organized to meet its stated mission, complies with departmental directives, and ensures DHA changes are reviewed, validated, and approved by the DHA M&O Division Chief. The following details provide procedural guidance on how the DHA M&O Division will validate and approve MCRs/OCRs.
  
2. IDENTIFICATION OF MANPOWER REQUIREMENTS AND AUTHORIZATIONS. The DHA JTD is the official manpower document. The DHA M&O Division develops, builds, and maintains the DHA HQ and Market JTDs. The Markets maintain the MTF JTDs for their serviced MTFs.
  - a. Requirement. Driven by workload (e.g., mission, functions, and tasks), and should reflect both quantity and quality (e.g., numbers and types) by occupational code and grade.
  
  - b. Authorization. Funded manpower requirements are positions for which program funding of requirements has been authorized.
  
3. MCR PROCESS AND SYSTEM INTEGRATION OVERVIEW. An MCR updates manpower requirement and authorization-level detail to include, but is not limited to: organization code, position title, pay plan, specialty code/occupational series, grade, requirement, authorization, PEC, UIC, Military Services position number, and/or location. The MCR process generally begins when an organization requests a change to an existing manpower requirement. Requests for additional manpower requirements will be forwarded to the approval authority for validation.
  - a. The MCR is drafted by the requesting organization and coordinated internally within the organization for concurrence. Once locally approved, the MCR is then submitted into FMTS by the organization's appointed POC/FMTS Position Manager or Administrator. Only the DHA and Markets will have FMTS access; MTFs will submit MCRs to their parent Market's FMTS Position Administrator using the Market's standard MCR form.
  
  - b. The respective parent FMTS Administrator then reviews the MCR for consistency, accuracy, applicability, and overall compliance with DHA policies. The MCR will be forwarded back to the requesting organization if changes to the proposal need to be made.
  
  - c. If the MCR is compliant with DHA policies and subsequently approved by the Director, DHA; DHA M&O Division Chief; or parent Market, the changes will be made in FMTS and reflect the effective date of the request. All DHA manpower requirements and authorizations are published on the respective JTD.

4. PREPARING AN MCR. MCRs must be prepared by the requesting organization and submitted in FMTS. The parent Market or DHA M&O Division must submit the MCR details in FMTS for review. Only the DHA and Markets will have FMTS access; MTFs will submit MCRs to their parent Market's FMTS Position Administrator using the Market's standard MCR form.

a. Organizations and Coordination

(1) MTFs. The MTFs will submit MCRs to their parent Market's FMTS Position Administrator using the Market's standard MCR form.

(2) Markets. Each Market will have MCR approval authority for MTFs within their own Market, as long as the manpower requirement is already validated and within their total allocation of authorizations.

(a) MCRs cannot be approved by the same individual who submits them in FMTS.

(b) MCRs that cannot be approved at the Market-level will be elevated to DHA M&O Division for adjudication.

(3) DHA. ADs/DADs within the DHA will submit MCRs through FMTS via their FMTS Position Managers and coordinate with DHA M&O Division.

(a) DHA M&O Division is the approval authority for MCRs within DHA HQ or those elevated by the Markets, as long as the manpower requirement is already validated and within their total allocation of manpower authorizations. MCRs that cannot be approved at the DHA M&O Division-level will be elevated to J-1, DAD for adjudication.

(b) If the manpower requirement cannot be funded within the DHA Directorate, the DHA Directorate may bring the requirement to the DHA Corporate Structure for funding consideration.

b. Detailed Change Reason. The proposed change must be described in detail and address all changes made to the manpower requirement, as well as identification of any adverse personnel actions that may be generated because of the requested change. A thorough justification must be provided detailing why the proposed action is needed. If a change in grade is requested, coordination with the comptroller is required and sufficient funds for the increase must be annotated.

5. OCR PROCESS

a. An OCR is required when an organization activates, inactivates, redesigns, or deviates from the existing organizational structure. At the beginning of the OCR process, organizations must communicate with their Market or DHA M&O Division POC for guidance, in addition to the instructions below.

b. Preparing an OCR. OCRs must be prepared and submitted in CATMS by the requesting organization using an M&O Change Request Form. This is the form used for all OCRs and any resulting MCRs that will occur in FMTS. An electronic copy of the form may be found in the DHA M&O section of the DHA SharePoint LaunchPad at: <https://info.health.mil>. The form is in fillable portable document format, which includes instructions for completion of a request.

(1) If applicable, the OCR details must be submitted in CATMS for review by the Markets then the DHA M&O Division. The organization requesting changes is responsible for preparing and coordinating any OCR.

(2) Any proposed restructuring must include a functional statement to the new or changing activity presented.

(3) An OCR package submitted to the DHA M&O Division must include the following at a minimum (a sample OCR package can be found in the DHA M&O section of the DHA SharePoint LaunchPad at: <https://info.health.mil>).

(a) Executive Summary

(b) Current Organizational Chart

(c) Proposed Organizational Chart (with effective date)

(d) Completed OCR Request Form

(e) Detailed Proposed Organizational Charts (Totals with manpower requirements, manpower authorizations, grades, skill codes, etc.)

(f) Proposed Functional Statement(s)

(g) Current JTD and Proposed JTD (locally modified with line item changes)

(h) Exceptions to Delaying Policies (Unique Circumstances) (These policies can be found at: <https://info.health.mil>)

(4) Once approved by Director, DHA, M&O will notify originator and will be reflected on a future JTD.

## 6. JTD PUBLICATION

a. DHA JTD from FMTS will be published for each quarter and posted to the DHA M&O section of the DHA SharePoint LaunchPad at: <https://info.health.mil>. The quarterly JTD will be the reference document for the DHA HQ, Markets and MTFs. Recommended changes will be incorporated, if received no less than 30 days prior to the end of the quarter.

- b. A working copy of the JTD can be pulled from FMTS as needed by position managers.

GLOSSARYPART I. ABBREVIATIONS AND ACRONYMS

A&M	Administration and Management
AD	Assistant Director
CATMS	Correspondence and Task Management System
DAD	Deputy Assistant Director
DHA	Defense Health Agency
DHA-PI	Defense Health Agency-Procedural Instruction
DMHRSi	Defense Medical Human Resource System internet
FMTS	Fourth Estate Manpower Tracking System
FTE	Full Time Equivalent
FYDP	Future Year Defense Program
HQ	Headquarters
HRD	Human Resources Division
JTD	Joint Table of Distribution
MCR	Manpower Change Request
M&O	Manpower and Organization
MPSD	Military Personnel Support Division
MTF	Medical Treatment Facility
OCR	Organizational Change Request
PEC	Program Element Code
POC	point of contact
RDB	Resource Decision Board
RSC	Resource Steering Committee
SRRC	Senior Requirements and Resourcing Council
UIC	Unit Identification Code

PART II. DEFINITIONS

Unless otherwise noted, these terms and their definitions are for the purposes of this DHA-PI.

activity. A unit, organization, or installation performing a function or mission, or a collection of actions.

authorization. A billet or position for which funding has been provided (e.g., manpower space) and for which the quality of the requirement has been validated and authorized to perform the billet functions.

baseline. A point of reference used as a benchmark for comparing manpower requirements/authorizations to present conditions. The baseline is commonly referenced as the absolute funded composite of requirements established to reach the level of capability identified for a particular topic/sub-topic.

billet. A specific military or civilian manpower space, which is assigned qualifiers that define the duties, tasks, and functions to be performed and the specific skills and skill level required to perform the delineated functions. Also known as an authorization, authorized requirement, or position.

contractor. Non-government personnel employed under a services contract, including contracts for goods containing defined requirements for services, working on-site or off-site providing full-time direct administrative, management, or professional support to a DHA organizational component.

delaying. A review process of organizational structures, hierarchy and supervisory span of control; to identify redundant and obsolete work load; to capture potential costs savings; and to develop standardized organization frameworks and titling schema to the extent possible.

DHA Corporate Structure. Consists of three separate groups and the Director, DHA who collectively function as the DHA Enterprise resource decision-making process. This structure is established to function across organizational barriers to validate and prioritize requirements. The groups listed from entry level to final decision are: 1) RSC, 2) RDB, 3) SRRC, and 4) the Director, DHA.

FMTS. It is the single authoritative manpower information system for the DoD 4<sup>th</sup> estate components, including the Joint Staff, Chairman-controlled activities, and non-intelligence organizations. The information in the system will be used to inform the existing planning, programming, and budgeting processes and systems.

FMTS Administrator. A position (requirement) where the incumbent is responsible for the upkeep, configuration, and reliable operation of FMTS. The system administrator is charged to ensure manpower and organizational resources are properly maintained within the constraints of DHA HQ approved structural constraints. Administrators have the additional responsibility of ensuring supported entities are properly trained or have access to training materials for proper utilization of FMTS.

FMTS Position Administrator. A defined role in FMTS with the set of responsibilities of providing limited oversight, administration, and MCR-approval authority of limited-subordinate activities, authorized for documentation of respective position files.

FMTS Position Manager. A defined role in FMTS with the set of responsibilities of drafting MCR proposals in FMTS for review, approval, and implementation by their parent FMTS Position Administrator.

Full Time Equivalent (FTE). A unit or measure that indicates the workload of an employed person in a way that makes workloads comparable across various contexts. FTE is often used to measure a worker or students involvement in a project, or to track cost reductions in an organization. An FTE of 1.0 is equivalent to a full-time worker, while an FTE of 0.5 signals half of a full work or school load. In addition, FTE is commonly referred to as a work-year equivalent based on budget and workload.

function. An activity or purpose intended for a mission; grouping of tasks operating in a particular way; a core process or set of activities carried out within a department or areas of an organization; the broad, general, and enduring role for which an organization is designed, equipped, and trained; also known as Activity.

Joint. Connotes activities, operations, organizations, etc., in which elements of two or more Military Departments participate in accordance with Reference (j).

Joint Publication. A compilation of agreed-to fundamental principles, considerations, and guidance on a particular topic, approved by the Chairman of the Joint Chiefs of Staff that guides the employment of a joint force toward a common objective in accordance with Reference (j).

JTD. A manpower document that identifies the positions and enumerates the spaces that have been approved for each organizational element of a joint activity for a specific fiscal year (authorization year), and those accepted for the four subsequent fiscal years (program years).

liaison. An individual designated as POC by each Directorate Head/equivalent to coordinate with DHA M&O Division and HRD for their organization's manpower, organization, and staffing matters.

Management Headquarters Activity. A headquarters that is primarily responsible for overseeing, directing, and controlling subordinate organizations or units through: developing and issuing policies and providing policy guidance; reviewing and evaluating program performance; allocating and distributing resources; or conducting mid- and long-range planning, programming, and budgeting.

Manpower Management. The means of manpower control to ensure the most efficient and economical use of available manpower.

Market. An intermediate management level entity to oversee, manage, and provide authority and control over a given set of MTFs.

organizational component. An organizational unit as identified on an organizational chart, i.e., directorate, division, branch, etc.

organizational structure. The arrangement and relationships of organizational components as depicted in the organizational charts.

PEC. The primary data element in the FYDP, and the foundation of the Planning, Programming, Budgeting and Execution Process. Each program and entity within the defense portfolio have its own Program Element and is the specific allocation of resources for those entities from the Secretary of Defense.

personnel. Those individuals required in either a military or civilian capacity to accomplish the assigned mission.

RDB. Part of the DHA Corporate Structure. The RDB is the second level for the DHA Enterprise resource decision-making process after the RSC. The RDB will review recommended courses of action for all issues forwarded by the RSC and in-turn adjudicates which actions are to be forwarded to the final DHA Senior Approval Authority. All decisions are forwarded to the SRRC.

requirement. A recommended solution to a mission deficiency that when validated and approved, satisfies the timely allocation of resources to achieve a capability to accomplish objectives, missions, or tasks.

RSC. Part of the DHA Corporate Structure and the entry point for the DHA Enterprise resource decision-making process. The RSC will recommend optimized resourcing options, expand awareness, and promote accountability to the RDB with a focus on achieving optimal operational outcomes in line with DHA strategic priorities.

Service. A branch of the Armed Forces of the United States established by Congress.

SRRC. Part of the DHA Corporate Structure. The SRRC is the third level for the DHA Enterprise resource decision-making process after the RDB. The SRRC is the Senior Approval Authority and Adjudication on issues raised from the RDB. All programming, resourcing, and alignment decisions are forwarded to the Director, DHA for final approval.

UIC. An alphanumeric code that uniquely identifies each Active, Reserve, and National Guard unit of the Armed Forces.

validate. Execution procedure used by components to confirm that all the information records in a time-phased force and deployment data are not only error-free, but also accurately reflect the current status, attributes, and availability of units and/or requirements.



validation. A process associated with the collection of information and production confirms that collection of information or production requirement is sufficiently important to justify the dedication of resources does not duplicate an existing requirement and has not been previously satisfied.