



Department of Defense

DIRECTIVE

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ASD(MI&L)

SUBJECT: Enlisted Personnel Management System

- References:
- (a) DoD Directive 1304.20, "Enlisted Personnel Management System," October 8, 1974 (hereby canceled)
 - (b) DoD Directive 1304.21, "Award of Enlisted Personnel Bonuses and Proficiency Pays," April 21, 1982
 - (c) DoD Instruction 1304.22, "Administration of Enlisted Personnel Bonus and Proficiency Pay Programs," April 20, 1983
 - (d) Title 10, United States Codes, Section 517, "Authorized Daily Average: Members in Paygrades E-8 and E-9"
 - (e) through (k), see enclosure 1.

A. REISSUANCE AND PURPOSE

1. This Directive reissues reference (a) to update policy and responsibilities regarding the clarification of enlisted personnel management policies.

2. It (a) establishes the Department of Defense objectives for Military Service enlisted personnel management; (b) specifies the minimum essential elements of a personnel management system; (c) establishes requirements for a Military Service enlisted personnel management plan, and (d) sets constraints on Objective Forces.

B. APPLICABILITY

This Directive applies to the Military Departments. The term "Military Services," as used herein, refers to the Army, Navy, Air Force, and Marine Corps.

C. DEFINITION

The terms used in this Directive are defined in enclosure 2.

D. POLICY

1. The Enlisted Personnel Management System. The Enlisted Personnel Management System is the total process by which enlisted personnel are developed professionally to satisfy force structure authorizations and provides the context and framework for enlisted personnel management action. The objective of the Enlisted Personnel Management System is to assist in attaining the following goals:

- a. Satisfy authorizations for enlisted personnel, by grade, with the appropriate experience and skill.

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b. Ensure personnel management system capabilities are taken into consideration during the requirements decision process.

c. Provide visible, relatively stable career progression opportunity over the long term.

d. Attract, retain, and motivate to career service the kinds and numbers of people the Military Services need.

e. Ensure a self sustaining, vigorous force with a relatively stable career content is achieved and maintained.

f. Enable utilization of personnel in positions for which they are trained and experienced.

g. Minimize specialty imbalances over time.

h. Ensure a reasonably uniform application of the principle of equal pay for equal work among the Military Services.

i. Support the most efficient allocation of Department of Defense manpower resources in the support of Military Service missions.

2. The Enlisted Personnel Management Plan. The Enlisted Personnel Management Plan constitutes those resourced or programmed personnel management actions which the Military Services intend to take in order to achieve the annual Program Objective Forces. It includes a statement of the annual objectives and policies and provides a common basis for analysis of plan implementation and resource allocation.

3. The Steady-State Objective Force. The Steady-State Objective Force is that enlisted personnel force structure by grade and years of service which supports attainment of Military Service long-term goals and missions, and which has the capability for orderly expansion or reduction. This force supports internal Military Service modeling, policy analysis, and planning. Military Services may submit a Steady-State Objectives Force to the Office of the Secretary of Defense (OSD) as supplemental support for Military Service personnel management program, but it is not required.

4. The Program Objective Force required in DoD Instruction 1300.14 (reference (f)) is a statement of intent to manage personnel so as to achieve the grade and experience configuration displayed. Program Objective Force shall be referred to as Objective Force for the remainder of this directive. The current-year objective force shall be achieved through the execution of the approved and resourced Military Service personnel plans. The budget-year and other program-year objective forces represent Military Service intentions based on current assumptions and estimates of future conditions.

5. The constraints on the Enlisted Personnel Management System, the Enlisted Personnel Management Plan, and the Objective Forces are contained in enclosure 4.

E. RESPONSIBILITIES

1. The Assistant Secretary of Defense (Manpower, Installations and Logistics (ASD(MI&L))) in order to fulfill responsibilities assigned to ASD (MI&L) by DoD Directive 5124.1 (reference (i)) shall:

a. Review, evaluate, and approve the Objective Forces of the Military Services.

b. Use Military Service Objective Force data to:

(1) Evaluate program and budget submissions.

(2) Support and defend OSD and Military Service plans and programs designed to achieve the objective force at various stages of the Planning, Programing and Budgeting System (PPBS) cycle.

(3) Assess the feasibility of inventory transition between objective forces.

(4) Analyze personnel force trends by grade and years of service.

(5) Analyze major deviations from the previous year objective force and the actual year-end inventory (e.g., time-in-service, time-in-grade, and average years-of-service, etc.).

(6) Assist in the identification of policy or program changes needed to achieve desired inventory behavior.

c. Make appropriate policy recommendations to the Secretary of Defense to include the specification of annual grade distributions.

d. Fulfill these responsibilities without taking the essentials of personnel management from the individual Military Services.

2. Each Military Service shall be responsible for:

a. The preparation and maintenance of its Enlisted Personnel Management Plan, and achievement of the annual Objective Forces.

b. Adherence to the plan during the planning, programming, and budgeting process and during budget execution.

c. Obtaining prior approval from the OSD to deviate from approved Objective Forces.

F. INFORMATION REQUIREMENTS

1. The reporting requirements for this Directive are assigned Reports Control Symbol DD-MIL(A)1355. The Military Services shall submit the report in the prescribed frequency and format required by DoD Instruction 1300.14 (reference (f)).

2. The report shall prescribe the use of standard data elements to the extent they are applicable and available. All other data elements should be standardized by the Navy (assigned responsible agency) in accordance with DoD Directive 5000.11 and DoD 5000.12-M (reference (g) and (h)).

3. The report submitted in accordance with DoD Instruction 1300.14 (reference (f)) shall be marked "FOR OFFICIAL USE ONLY" as provided by DoD 5400.7-R (reference (j)) based on the Freedom of Information Act (FOIA) exemption number 5. The office of record for the reports is the Officer and Enlisted Personnel Management (O&EPM) Directorate, Military Personnel & Force Management, OASD (MI&L), and access to the data is limited to O&EPM unless otherwise approved by the Deputy Assistant Secretary of Defense (Military Personnel & Force Management) (DASD(MP&FM)).

G. EFFECTIVE DATE AND IMPLEMENTATION

This Directive is effective immediately. Reports shall be submitted to the Assistant Secretary of Defense (Manpower, Installations and Logistics) by March 15 in support of the Program Objective Memorandum (POM) submission for that year.



William H. Taft, IV
Deputy Secretary of Defense

Enclosure - 5

1. References
2. Definitions
3. The Enlisted Personnel
Management Plan Requirements
4. Constraints
5. Promotion TIS Criteria

REFERENCES

- (e) Title 37, United States Code, Section 201, "Pay Grades: Assignment to; general rules"
- (f) DoD Instruction 1300.14, "Enlisted Personnel Management Planning and Reporting," November 16, 1978 (to be revised).
- (g) DoD Directive 5000.11, "Data Elements and Data Codes Standardization Program," December 7, 1964
- (h) DoD 5000.12-M, "DoD Manual for Standard Data Elements," December 1982, authorized by DoD Instruction 5000.12, April 27, 1965
- (i) DoD Directive 5124.1, "Assistant Secretary of Defense (Manpower, Installations, and Logistics)," January 12, 1984
- (j) DoD 5400.7-R, "DoD Freedom of Information Act Program," December 1980, authorized by DoD Directive 5400.7, March 24, 1980
- (k) DoD 1312.1-M, "Occupational Conversion Manual, Enlisted/Officer/Civilian," December 1982, authorized by DoD Instruction 1312.1, July 27, 1981

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DEFINITIONS

Active Years of Service. Total Active Federal Military Service (TAFMS) or service creditable for retirement. Also referred to as Time-in-Service (TIS) or Years-of-Service (YOS).

Authorizations Plus Individuals (API). The annual Force Structure Authorizations added to the individuals which are used in development of the annual Objective Forces.

Desired Promotion Time-in-Service. The TIS at the time of promotion which must be met by those who are not promoted within the "waiver zone."

End Strength. The total number of active duty personnel within each Military Service by category at the end of the fiscal year.

Enlisted Personnel Management Plan. The complete set of resourced and mutually supporting personnel plans which when implemented in accordance with approved personnel policy, through operation of the Enlisted Personnel Management System, result in achievement of the annual Objective Forces.

Enlisted Personnel Management System. The total process by which enlisted personnel are developed professionally to satisfy force structure authorizations (e.g., accessing, recruiting, training, assigning, promoting, rotating, transferring, discharging, reenlisting, and retiring military personnel). (Also referred to as force renewal.)

Force Structure Authorizations. Total budgeted or programmed manpower positions identified by grade, skill, and other relevant characteristic (e.g., unit, location, and gender constraint, etc.) for a specified fiscal year. (Also referred to as authorizations.)

Individuals. Transients, trainees, patients, prisoners, holdees, cadets, and students who are included within the manpower program but are not reflected within the force structure authorizations.

Military Specialty. Equates to Military Occupational Specialty (MOS) in the Army and Marine Corps, to Air Force Specialty Code (AFSC) in the Air Force, and rating in the Navy. (Also referred to as specialty or skill.)

Minimum Promotion Time-in Service. The absolute minimum TIS an enlisted member must have to be eligible for promotion to the next higher grade without prior approval of the ASD(MI&L) or designated representative.

Occupational Area. A one digit occupational grouping of Department of Defense Enlisted Occupational Conversion Table established under DoD Instruction 1312.1 (reference (k)).

Occupational Field (two-digit specialty). An aggregate of specialties within each Military Service that is defined as a Self-Renewing Occupational Field (SROF) or Non-Self Renewing Occupational Field (NSROF).

Over-four component (personnel). Personnel with four or more years of completed active service (TAFMS). (Also referred to as career content or career force.)

Personnel Force Structure. An actual or projected configuration of the enlisted force which may be displayed by one or more characteristics, such as time-in-service, grade, specialty, and gender, etc.

Professional Development. The process by which enlisted personnel are trained and utilized to satisfy authorizations in terms of skill, experience, and grade.

Program Objective Force. An achievable enlisted personnel force, identified by grade and years of service, which supports accomplishment of the Military Service missions; and is based on force structure authorizations and individuals for the current year through the program years. (Also referred to as "Objective Force" in this Directive.)

Steady-State Objective Force. That enlisted personnel force structure by grade and years of service which supports attainment of long-term goals and missions of the Military Services and which has the capability for orderly expansion or reduction. This force supports internal Service modeling, policy analysis, and planning. The Military Services may submit a Steady-State Objective Force to OSD as supplemental support for the Military Service personnel management program, but it is not required.

Top 5/6. The actual or projected numeric or percentage content in the top five enlisted grades (E5 through E9) or in the top six enlisted grades (E4 through E9).

Under-four Component (Personnel). Personnel with less than four (4) years of completed active service (TAFMS). (Also referred to as non-career content or non-career force.)

Waiver Authority. The percentage of the serving force in a particular grade which may have, without prior ASD(MI&L) approval, less than the requisite desired promotion TIS at the end of each fiscal year. Waiver authority is constrained to by-grade content for E2 through E4, while it is tied to the level of detail at which each Military Service manages promotions to E5 and above.

The Enlisted Personnel Management Plan Requirements

1. The Enlisted Personnel Management Plan includes the supporting plans which contribute to achievement of the annual Objective Forces. Under the Plan, each Military Service manages its personnel, in accordance with applicable policies, through the operation of the Enlisted Personnel Management System.
2. The Plan shall be developed in consideration of:
 - a. Budgeted or programmed authorizations plus individuals (API) by grade, specialty, and fiscal year.
 - b. The current inventory by grade, specialty, and years of service.
 - c. Legislative and policy guidance affecting grade content, promotions, assignments, and separations.
 - d. Grade and specialty substitution, and reclassification.
 - e. Annual accessions, reenlistments, and losses.
 - f. Resources (including compensation, incentive pays, and benefits essential to programmed enlistment and retention).
 - g. A major consideration in the Plan shall be the nature of personnel flow (force renewal) required to meet current and future API.
3. The Plan must identify:
 - a. Assumptions which are essential to achievement of the Objective Forces (principally those assumptions with resource implications -- e.g., authorizations, individual, bonuses, etc.).
 - b. Transition methodologies which require OSD support or special consideration.
 - c. Changes to Military Service policies on utilization of minorities or women, enlistment or reenlistment, promotions, losses, and those which have impact on associated programs (e.g., force modernization, fleet expansion, etc.) must be stated explicitly.
 - d. The annual Objective Forces for the current, budget, and four POM years which are to be achieved. The Military Services shall retain Objective Forces for the current through the first POM year at the specialty level of detail, and shall forward to OSD two-digit occupational field and total service summaries.
4. The approved Plan constitutes a statement of intent. Its implementation shall result in the achievement of the annual Objective Forces.
 - a. The Objective Forces shall be reviewed and revised at least annually.

b. Those portions of the Plan which change in response to the Objective Forces shall be revised accordingly.

c. Changes in any Objective Force (current through the POM years) which require management action or have resource implications shall be approved by the OASD(MI&L) prior to execution.

d. The Plan shall serve as a basis for discussion and justification of the Military Service Objective Forces and supporting resources and policies.

CONSTRAINTS

1. The minimum essential controls on the Enlisted Personnel Management Systems, the Enlisted Personnel Management Plan, and Objective Forces are as follow:

a. Each Objective Force shall reflect the personnel force size projected for the applicable year of the latest OSD approved Program Objectives Memorandum (POM) with subsequent approved changes.

b. An Objective Force shall be submitted for approval for the current year, budget year, and the following four program years. Each Objective Force shall be developed in consideration of the API for the current year and through the applicable program years, and of the feasibility of transitioning the current force through each successive Objective Force.

c. The desired and minimum promotion time-in-service requirements for promotion eligibility in enclosure 5 shall be adhered to at the specialty level of detail by which promotions to grades E5 and above are managed, and at the by-grade level for E2, E3, and E4. (Military Services managing promotions to E5 and above by two-digit occupational field shall apply waiver constraints at that level, and the Military Service managing promotions by military specialty shall apply waivers at that level). (See enclosure 5 for basis for waiver limit exceptions.)

d. Promotions plans shall be designed and executed to fill grade vacancies. Selection of individuals for promotion shall be based upon individual qualification and potential for acceptance of increased responsibility. Promotions shall not be used as a reward for past performance or as an inducement to remain in the Military Service.

e. A maximum of 3% of the enlisted force may serve in grades E8 and E9, with no more than 1% serving in E9 (Title 10 U.S.C. 517 (reference (d))).

f. The provisions of 37 U.S.C. 201 (reference (e)) must be met for grades E-8 and E-9.

g. The Top 5 and 6 enlisted grades and career content shall remain at or below the number contained in the approved current year Objectives Force.

h. The ratio of Top 5 content to career content shall not exceed 1 to 1.

2. Deviation from the above constraints requires prior approval of the ASD(MI&L).

PROMOTION TIME-IN-SERVICE CRITERIA

The following guidelines reflect the desired and minimum promotion time-in-service requirements for promotion eligibility and the maximum percent of waiver authority which may be used in the annual promotion program, enlisted personnel management plans, Objective Forces, and program and budget submissions:

Completed Total Active Federal Military Service

<u>Promotion to Grade</u>	<u>Desired TIS (Yrs)¹</u>	<u>Minimum TIS (Yrs)²</u>	<u>Percent Waiver Authority³</u>
E-9	19	10	10
E-8	16	8	10
E-7	11	6	10
E-6	7	4	10
E-5	3	1.5	10
E-4	2	0.5	20
E-3	1	Active Duty Entry	20
E-2	0.5	Active Duty Entry	20

¹Desired TIS (Yrs) Column. The years of service contained in this column are the DESIRED time-in-service (TIS) at the time of promotion which may be possessed by enlisted personnel who are not promoted within the "waiver zone".

²Minimum TIS (Yrs) Column. The year of service contained in this column are the ABSOLUTE MINIMUM TIS an enlisted member must have to be eligible for promotion to the applicable grade. No personnel shall be promoted earlier than the year of active military service listed in this column without approval of ASD(MI&L) or a designee (paragraph 4 below).

³Percent Waiver Authority Column. The percentages shown in this column specify the proportion of members that may serve in the waiver zone at each grade, and at the level of detail that the Military Service manages promotions to E-5 and above (i.e., at the two-digit occupational field or at the military specialty code), at the end of the fiscal year. The maximum number of waived members shall be based upon the by-grade and strength derived from the total end strength authorized for a Military Service by Congress through the Department of Defense Appropriations Authorization Bill as distributed by the Secretary of Defense or his designee. Personnel undergoing training for commissions shall be deducted from the applicable grade strength before determining the maximum number of personnel who may be serving in the waiver zone. The waiver percentage for E5 and above shall be computed based on the serving population in the applicable grade for applicable occupational level at the end of the fiscal year. Unused waiver authority at E-5 and above may be passed down to successively lower grades feeding the same specialty or occupational field, whichever is applicable, when the higher grade specialty is at or below 85% of its authorized strength and the lower grades cannot make up the difference within the waiver limit. At no time shall the waiver zone content for these "shortages" specialties or occupational fields, whichever applies, exceed 30 percent without ASD(MI&L) approval.

⁴The ASD(MI&L) or designee may waive the minimum TIS and the percent waiver authority under unusual circumstances. Requests for waiver of any of the policies prescribed in this Directive must describe the program for which a waiver is being requested, the duration of the waiver, and justification for the proposed adjustments to the DoD Promotion Criteria as the most appropriate method of coping with a specific problem.

⁵Members of the US Army Band, the US Navy Band, and the US Air Force Band, and the US Marine Corps Band are exempt from the minimum TIS criteria above for grades E-1 through E-7. Personnel promoted under this authority must be accommodated within the overall percent waiver authority.