Independent Study of Implementation of Defense Acquisition Workforce Improvement Efforts

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Abstract

This report, submitted in accordance with section 845 of the National Defense Authorization Act for Fiscal Year 2016, examines the strategic planning of the Department of Defense (DOD) regarding the acquisition workforce (AWF). It provides an examination and analysis of DOD's efforts to recruit, develop, and retain the AWF, with a focus on how these efforts support the implementation of the Defense Acquisition Workforce Improvement Act (DAWIA), the application of the DOD Acquisition Workforce Development Fund (DAWDF), and the effectiveness of professional military education and fellowship programs.

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Executive Summary

Workforce size is important, but quality is paramount.

USD(AT&L) Ashton B. Carter
***Defense AT&L* magazine, interview with**
Mr. Frank J. Anderson, Jr., April 5, 2010

Section 845 of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2016 directed the Secretary of Defense to contract with an independent research entity to carry out a comprehensive study of the strategic planning of the Department of Defense (DOD) regarding the defense acquisition workforce (AWF). This report is submitted in accordance with this requirement, and provides an examination and analysis of the Department's efforts to recruit, develop, and retain the AWF, with a specific focus on how these efforts support the implementation of the Defense Acquisition Workforce Improvement Act (DAWIA), the application of the DOD Acquisition Workforce Development Fund (DAWDF), and the effectiveness of professional military education and fellowship programs.

In its April 2010 Defense Acquisition Workforce Appendix to the Strategic Human Capital Plan Update (SHCPU) [1], DOD established goals for increasing the size and quality of the AWF to be achieved by FY2015. To support these goals, the Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L)) has personally championed efforts to improve the Defense AWF—most notably through the Better Buying Power (BBP) series of initiatives, which include a core initiative to "Improve the Professionalism of the Total Acquisition Workforce." This study will review DOD strategic planning efforts in light of the goals established in April 2010, with particular attention to the annual President's Budget Exhibit 23 (PB23) documents, to see how Component AWF requirements have evolved year-to-year. Throughout the report, we will provide observations and recommendations, which are then included in a single consolidated list in Chapter 8 of this report.

Our review found significant improvements in several areas based on the efforts undertaken by USD(AT&L), the component acquisition executives (CAEs)[1], and the Human Capital Initiatives (HCI) office (within the Office of USD(AT&L))—enabled in large part by the institution of the DAWDF in FY2008. DOD increased the AWF by more than 30,000 personnel since 2008, with approximately 10,200 of the new hires funded by DAWDF. Over this period, the Department not only reversed the decline in AWF capacity from the 1990s, but also reshaped the AWF by increasing the number of early and mid-career personnel—a particularly significant accomplishment, given the size and variety of the AWF and its distribution across a multitude of different DOD Components.

This growth and reshaping of the AWF was affected by changes in policy (e.g., cancellation of the Federal Civilian Intern Program (FCIP) hiring authority and civilian hiring freezes), budgetary disruptions (Continuing Resolutions and sequestration), and even tragic events (the 2013 Washington Navy Yard shootings) that challenged the momentum needed to reshape such a large workforce over a relatively short time. Its achievement may merit further study to understand how the Department accomplished the AWF level and quality it did, along with the positive lessons learned. We suspect two main ingredients were present: (1) Strong, persistent commitment from top leadership over an eight-year period (SECDEF, USD(AT&L), SAEs, and the HCI office); and (2) the presence of DAWDF funding that mitigated near-term budget impacts, allowing the Components to pursue the AWF hiring required.

These efforts resulted in the percentage of personnel who have the DAWIA certification level required for their position increasing from 58.3 percent in FY2008 to 75.5 percent in FY2015—an increase of more than 44,000 qualified personnel. These higher certification levels were directly supported through increases in both the number of courses and seats offered through the Defense Acquisition University (DAU).

Defense AWF Composition

The Defense AWF comprises more than 156,000 personnel, in 15 career fields, who are assigned across 41 DOD Components (e.g., military Services, Defense Agencies, the Joint Staff, etc.). These AWF personnel, as measured by the "DAWIA count" criteria, are 90 percent civilian and 10 percent military. Civilian AWF members are found in all of the 41 DOD Components, and are reported based on the Component

[1] Throughout this report, we will use *Component acquisition executives* (CAEs) to cover all Service and Defense agency acquisition executives who have formal acquisition management responsibilities, and *Service acquisition executives* (SAEs) to cover the subset associated with the three military departments.

to which they are assigned. Alternatively, even though military AWF members are assigned across many Components, they are reported only in terms of the Service to which they belong. Contractor AWF personnel are not formally reported, as DOD is still working on how best to determine personnel estimates for performance-based contracts, but informal estimates provided to USD(AT&L) at the April 2016 AWF Strategic Steering Board show a decrease in AWF contractor support from 53,584 in FY2008 to 36,160 in FY2015—with subsequent annual decreases projected to achieve a level of 31,368 by FY2021.

The size and composition of the AWF vary across Components, but 83 percent of the total military and civilian AWF is reported in the military Services, with an additional 15 percent reported in the four Defense agencies with the largest AWF populations—Defense Contract Management Agency (DCMA), Defense Logistics Agency (DLA), Defense Contract Audit Agency (DCAA), and Missile Defense Agency (MDA). Together, these eight Components represent 98 percent of the total Defense AWF, so much of our analysis will focus on these organizations.

DAWIA

Passed in 1991, DAWIA established Chapter 87 of Title 10 U.S. Code (U.S.C.), Defense Acquisition Workforce, to address concerns noted in DOD's 1995 review of education and training and by the President's Blue Ribbon Commission on Defense Management (also known as the "Packard Commission"). In particular, the Packard Commission noted, "compared to its industry counterparts, this workforce is undertrained, underpaid, and inexperienced."

DAWIA has evolved through subsequent legislation, but its key tenets are still as originally described in Title 10 U.S. Code, Section 1701, Policies and Procedures, "The Secretary of Defense shall establish policies and procedures for the effective management (including accession, education, training, and career development) of persons serving in acquisition positions in the Department of Defense."

DAWDF

Congress established the DAWDF in the NDAA for FY2008 (codified in Title 10 U.S. Code, Section 1705) to ensure that DOD has "the capacity, in both personnel and skills, needed to perform its acquisition mission, provide appropriate oversight of contractor performance, and ensure the Department receives best value for expenditure of public resources." The DAWDF legislation provides guidance on how funding can be used to support efforts related to the recruiting, development, and retention of AWF personnel, as well as Expedited Hiring Authority (EHA). The DAWDF was originally implemented as a temporary measure, but was made permanent in the NDAA for FY2016.

DOD's initial DAWDF efforts were focused primarily on growing the AWF, and have now transitioned to supporting the USD(AT&L) objective to "responsibly sustain" the AWF—supporting a balanced portfolio of recruiting, development, and retention efforts. DOD has used these funds to support significant improvements to the AWF, particularly with respect to recruiting and development. Through FY2015, DAWDF funding was used for the targeted hiring of approximately 10,200 AWF personnel, expanding and updating acquisition courses offered by the Defense Acquisition University, funding a wide range of non-DAU leadership and professional development opportunities, developing the AWF early and mid-career groups, and increasing AWF certification and education rates across DOD. DOD has also been very conscientious in applying DAWDF funds, using strict guidelines for determining efforts that meet DAWDF criteria—and not using them to offset legacy acquisition workforce funds.

To help standardize DAWDF processes, reporting, and implementation, all DAWDF strategic guidance and execution is overseen through the AWF SSB, with the HCI Director designated as the senior DOD official responsible for the DAWDF. In August 2016, HCI also published the first DAWDF Desk Operating Guide, Version 1.0 [2], which provides specific guidance on governance, responsibilities, and reporting requirements. To better ensure consistency across Component DAWDF reporting, the operating guide reduces the number of DAWDF Line Items (categories) for reporting from 12 to 4, with detailed examples on how funds should be documented to clearly distinguish between types of effort (e.g., student loan repayment for recruiting versus student loan repayment for retention). Given this lesser number of reporting categories, particular attention will need to be paid to ensuring data is reported in accordance with the guidance provided.

As noted by the GAO, a large amount of prior-year DAWDF funding has been carried over into each new fiscal year. This carryover is the result of several factors, to include initial delays in the collection and transfer of funds collected from the DOD Components, concerns within the Components with respect to the initial temporary nature of the DAWDF, strict interpretations of DAWDF-eligible uses, mandatory DAWDF contributions each fiscal year, AWF civilian hiring freezes, sequestration, and slower than anticipated obligations and expenditures. The House Authorization and Senate Appropriation Bills for FY2017 include three different approaches to resolve this carryover, based on reductions of between $400 million and $475 million in FY2017. Of the three approaches identified, we believe section 839 of the House version of the NDAA for FY2017—which would allow the Secretary of Defense to reduce the mandatory level of funds to be added in FY2017 from $400 million to $0—would have the least impact to ongoing AWF efforts.

AWF Identification and Management Structure

In accordance with Chapter 87 of Title 10 U.S.C., "Defense Acquisition Workforce," DOD has established a single Acquisition Corps for the department, with common

training, experience, and certification requirements. The Acquisition Corps is a pool of highly qualified members of the AWF to fill Critical Acquisition Positions (CAPs), based on criteria established in section 1732 of Title 10 U.S.C, DOD Instruction (DODI) 5000.66, and DODI 5000.52.

USD(AT&L) has implemented a number of policies and forums to oversee and manage efforts related to the AWF, and to ensure that DAWIA career development and certification requirements are met. These include an overarching Defense AWF Strategic Steering Board (SSB) chaired by USD(AT&L), and a subordinate Workforce Management Group (WMG), with senior representatives from the Components. USD(AT&L) has also established Functional Leaders (FLs) for each AWF career field. These FLs are responsible for determining the training and experience requirements for their career fields, working closely with the Component representatives through Functional Integrated Product Teams (FIPTs). In addition, USD(AT&L) has established a Human Capital Initiatives (HCI) office "to execute Department of Defense (DOD)–wide acquisition workforce governance, strategies, policies, programs, and talent management initiatives to equip a highly qualified workforce of professionals in acquiring and delivering world-class warfighting capabilities to our Soldiers, Sailors, Airmen, and Marines."

Strategic Workforce Planning

Strategic planning related to the Defense AWF is conducted by the individual Components and reflected in the annual President's Budget Exhibit 23 (PB23). These forecasts indicate, by Component and AWF career field, the projected AWF personnel levels across the Future Years Defense Program (FYDP). In reviewing AWF projections from the April 2010 Defense AWF Appendix to the SHCPU, which forecasts from FY2010 to FY2015, and the PB23 Exhibits, we found that all but one of the eight largest AWF Components increased in size. The one exception is the Army, which had forecast an increase of 5,771 personnel between FY2008 and FY2015, but instead decreased by 3,636. We believe there is significant advantage in reviewing AWF trends, using PB23 data in terms of Component and career field, that provides valuable insight beyond data aggregated at the DOD or Component level. These data are included in the products available through the HCI website (http://www.hci.mil/metrics.html), but is not typically broken out in AWF reporting.

The differences noted by the Government Accountability Office (GAO) in its December 2015 report, *Defense Acquisition Workforce: Actions Needed to Guide Planning Efforts and Improve Workforce Capability,* between the overall Defense AWF growth projected in the April 2010 AWF Appendix to the SHCPU, were influenced largely by these reductions in the Army, along with significant administrative gains (recoding of already existing positions/personnel) in the Life Cycle Logistics, Science and Technology Manager, Information Technology, and Facilities Engineering career fields.

The reduction of the Army AWF from FY2011 to FY2015 was due mainly to Army-wide civilian hiring freezes and/or reductions across the civilian workforce. Also, the Army suspended insourcing, resulting in acquisition growth of only approximately 1,000, compared to the goal of 4,100. In addition, at the April 2016 SSB, the Army Service Acquisition Executive (SAE) rated the risk associated with the Army AWF as significant.

To assess DOD gain and loss forecasting, we compared actual gains and losses for the eight career fields that had projections in the April 2010 AWF Appendix to the SHCPU with the April 2010 forecasts. In all cases, projected losses closely matched actuals, indicating a stability in loss rates and DOD's ability to accurately forecast attrition. Gains varied from projections, being lower overall from FY2012 to FY2014, but higher than projected in FY2015. These differences were affected by mandated civilian hiring freezes and reductions, the implementation of the Budget Control Act of 2011 (sequestration), and changes in the PB23 predicted requirements of the Components. It is also important to note that restrictions due to hiring freezes that completely stop accessions can have effects that extend well beyond their implemented dates as accession processes are restarted.

DOD also published their new "Acquisition Workforce Strategic Plan: FY 2016 – FY 2021" [3] in November 2016, in accordance with requirements of Title 10 U.S.C., sections 115b(d) and 1722b(c). Given the timing of this plan's release, it will not be addressed in this study.

Recruiting

DAWDF was particularly influential in this area, permitting the targeted hiring of approximately 10,200 personnel and the use of EHA to accelerate the accession of new hires. These efforts resulted in improved workforce distribution in terms of years to retirement eligibility (YRE)—increasing the percentage of early (more than 20 YRE) and mid-career (more than 10 YRE) employees. In addition, the Director of HCI has worked with the Deputy Assistant Secretary of Defense for Civilian Personnel Policy (DASD(CPP)), in the Office of the Under Secretary of Defense for Personnel and Readiness (OUSD(P&R)), to establish an ongoing series of Acquisition/Human Resources (HR) Summits, beginning in 2015. The intent of these summits is to address unique AWF aspects of HR management, increase understanding, and standardize interpretation to improve the use of AWF authorities (e.g., hiring authorities and incentives) across DOD. We see these forums as a best practice and strongly recommend their continuation.

DOD increased the size of the AWF by more than 30,000 personnel between FY2008 and FY2015, with the largest increases—26,012 personnel or 85 percent of the total—occurring between FY2008 and FY2011. This increase was higher than forecasted in the April 2010 AWF Appendix to the SHCPU, which had goals of 9,887 AWF personnel through new hires and 10,000 through insourcing. Due to changes in

March 2011 to DOD's insourcing policy, only 3,400 personnel were accessed through insourcing. This change, in conjunction with changes in the Components' identified AWF requirements, resulted in a higher than anticipated number of accessions due to new hires and administrative gains (recoding of already existing positions/personnel).

In reviewing AWF administrative changes, we found that both administrative gains and losses have been increasing. In several cases, this has been due to changes in how a Component has interpreted the duties of an existing position with respect to the criteria for being a member of the AWF—where the AWF criteria have remained largely consistent. We recommend that USD(AT&L) implement processes that require SSB review and approval of any Component proponent changes that would result in significant administrative gains or losses. We also recommend that USD(AT&L) conduct a review of the career fields that have experienced the largest of these administrative changes (e.g., Life Cycle Logistics, Test and Evaluation, and Facilities Engineering) to ensure standardization across Components in interpreting AWF criteria.

We also found that some Component recruiting efforts were restricted due to unique Component interpretation of statutory authorities, particularly with respect to EHA and DAWDF. The Acquisition/HR Summits provide an excellent forum for identifying and addressing differences related to EHA and raising them, as appropriate, to the USD(AT&L) chaired SSB. The August 2016 DAWDF Desk Operating Guide will also help in this area, providing standardized guidance on DAWDF processes, responsibilities, and implementation.

Development

DOD made significant efforts on the training, education, and development of the AWF, to include efforts to increase and improve training at the Defense Acquisition University and to increase the Department's ability to define and track qualifications in terms of experience.

Key efforts and results related to development between FY2008 and FY2015 include:

- The percentage of AWF personnel with DAWIA certification at or above the level required for their current position increased from 58.3 percent to 75.9 percent.
- Funded primarily through DAWDF, DAU increased the number of courses offered—from 101 to 137—and updated the content of many courses.
- Increased the number of available DAU training seats from 38,036 to 52,665.

- Services expanded training opportunities beyond DAU, such as the Department of the Navy's Executive Development Program at the University of North Carolina and the Air Force's Smart Operations for the 21st Century Executive Leadership Course at the University of Tennessee. The Services also sent AWF personnel to the Darden Graduate School of Business Administration at the University of Virginia for education on the commercial business environment.

- DAU partnered with the Defense Contract Management Agency (DCMA) to establish the College of Contract Management, with 24 contract management courses fielded and 20 more in development.

- Competency Assessments were accomplished for most AWF career fields, with subject-matter expert (SME) determination of career field competencies based on phase of career.

- Increased emphasis on hiring personnel with college degrees, supported by tuition assistance and student loan repayment initiatives for current employees, resulted in increases in both the number of AWF members with bachelor's degrees (from 97,730 (77 percent of AWF) to 130,662 (84 percent)) and graduate degrees (35,878 (29 percent) to 61,177 (39 percent)).

USD(AT&L), through its Better Buying Power (BBP) initiatives, also established higher standards for personnel seeking key leadership positions (KLPs), and directed the development of criteria for KLP qualification boards, to pre-qualify candidates based on training and experience for upcoming KLPs. The qualification boards have been initially implemented for three career fields. In addition, through the Acquisition Workforce Qualification Initiative (AWQI), DAU has worked with each AWF career field FL to develop both career field competency tasks and job-aid standards for effectively performing tasks, which have been incorporated into the AWQI eWorkbook. The eWorkbook is available online and provides employees and supervisors the opportunity to identify training and experience goals, using criteria that are common across DOD to prepare employees for both current and future assignments.

With respect to acquisition course requirements determination and scheduling, DAU noted large differences between requirements identified and actual students attending. In FY2014 and FY2015, actual attendees represented only 68 percent and 61 percent, respectively, of the training seats requested by the Components. There are a number of aspects that complicate this process (e.g., requirements having to be identified nine months prior to the training year start, students being able to take one of many courses to fulfill a requirement, prerequisites, etc.). There is a need to

improve this process, and DAU is working with the RAND Corporation on how to improve requirements determination and class scheduling. We recommend that this initiative be a WMG and SSB interest item.

Retention

Defense AWF retention rates have improved since FY2008, with improvement in 10 of the 13 career fields. Although only 7 percent of DAWDF funding from FY2008 to FY2015 was for retention efforts, the retention percentages achieved were aligned very closely with those projected in the April 2010 AWF Appendix to the SHCPU, and the retention experienced for the civilian workforce is better than the DOD civilian workforce as a whole. The lower level of funds for retention indicates that DAWDF funds management efforts by the Components and the WMG were actually tailored to those areas requiring the most funding (recruiting and development) vice proportionally divided among the three DAWDF categories.

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Glossary

ACAT	Acquisition Category
AcqDemo	DOD Civilian Acquisition Workforce Personnel Demonstration Project
AET&CD	Acquisition Education, Training, and Career Development
AFB	Air Force Base
AFLCMC	Air Force Life Cycle Management Center
AFMC	Air Force Materiel Command
AFPC	Air Force Personnel Center
AFSPC	Air Force Space Command
AMC	Army Materiel Command
ASD(SE)	Assistant Secretary of Defense for Systems Engineering
ASN(RD&A)	Assistant Secretary of the Navy for Research, Development, and Acquisition
AT&L	Acquisition, Technology, and Logistics
AUDIT	Auditing
AWF	acquisition workforce
AWQI	Acquisition Workforce Qualification Initiative
BBP	Better Buying Power
BCFM	Business, Cost Estimating, and Financial Management
BENS	Business Executives for National Security
BES	Budget Estimate Submission
BSIG	Business Senior Integration Group
BUS-CE	Business - Cost Estimating
BUS-FM	Business - Financial Management
CAE	Component Acquisition Executive
CAP	Critical Acquisition Position
CCAS	Contribution-based Compensation and Appraisal System
CDR	Critical Design Review
CFO	Chief Financial Officer
CIV	Civilian
CIVPER	Civilian Personnel
CJCS	Chairman of the Joint Chiefs of Staff
CL	Continuous Learning
CLP	Continuous Learning Point
CON	Contracting

CSS	Combat Service Support
CTR	Contractor
DACM	Director, Acquisition Career Management
DAPA	Defense Acquisition Performance Assessment
DASD(CPP)	Deputy Assistant Secretary of Defense for Civilian Personnel Policy
DAU	Defense Acquisition University
DAWDF	Defense Acquisition Workforce Development Fund
DAWIA	Defense Acquisition Workforce Improvement Act
DCAA	Defense Contract Audit Agency
DCMA	Defense Contract Management Agency
DCPDS	Defense Civilian Personnel Data System
DeCA	Defense Commissary Agency
DFAS	Defense Finance and Accounting Service
DHA	Direct Hiring Authority
DIA	Defense Intelligence Agency
DLA	Defense Logistics Agency
DMT	Demand Management Tool
DOD	Department of Defense
DODI	Department of Defense Instruction
DON	Department of the Navy
DPAP	Defense Procurement Acquisition Policy
DSMC	Defense Systems Management College
DTRA	Defense Threat Reduction Agency
EHA	Expedited Hiring Authority
ENG	Engineering
ETA	Employment and Training Administration
FA	Functional Advisor
FAC ENG	Facilities Engineering
FCIP	Federal Civilian Intern Program
FFRDC	Federally Funded Research and Development Center
FIPT	Functional Integrated Process Team
FL	Functional Leader
FTE	full-time equivalent
FY	Fiscal Year
FYDP	Future Years Defense Program
GAO	Government Accountability Office
GC	General Counsel
GS	General Schedule
HCI	Human Capital Initiatives
HQ	Headquarters
HR	Human Resources
I&CPM	Industrial and Contract Property Management

IDP	Individual Development Plan
IG	Inspector General, inherently governmental
IT	Information Technology
JCIDS	Joint Capabilities Integration and Development System
JSF	Joint Strike Fighter
KLP	Key Leadership Position
LCL	Life-Cycle Logistics
MAIS	Major Automated Information System
MARADMIN	Marine Administrative Message
MARCORPSYSCOM	Marine Corps Systems Command
MDA	Missile Defense Agency
MDAP	Major Defense Acquisition Program
MHA	Management Headquarters Activities
MIL	Military
MILPER	Military Personnel
MROC	Marine Corps Requirements Oversight Council
MSPB	Merit System Protection Board
NAVAIR	Naval Air Systems Command
NAVSEA	Naval Sea Systems Command
NAVSUP	Naval Supply Systems Command
NDAA	National Defense Authorization Act
NDRI	National Defense Research Institute
NSA	National Security Agency
NSPS	National Security Personnel System
O&M	Operations and Maintenance
OMB	Office of Management and Budget
OMN	Operations and Maintenance
OPM	Office of Personnel Management
OSD	Office of the Secretary of Defense
OT	Operational Testing
OUSD(P&R)	Office of the Undersecretary of Defense for Personnel and Readiness
P&R	Personnel and Readiness
PB	President's Budget
PEO	Program Executive Office(r)
PM	Program Manager
PME	professional military education
PMO	Program Management Office
POM	Program Objective Memorandum
PPBE	Planning, Programming, Budgeting, and Execution
PQM	Production, Quality, and Manufacturing
PRSM	Predictive Resource Staffing Models
RAA	Responsibility, Authority, and Accountability

RD&A	Research, Development, and Acquisition
RDT&E	Research, Development, Test, and Evaluation
RIF	Reduction-in-force
RMD	Resource Management Decision
S&T	Science and Technology
SAE	Service Acquisition Executive
SB	Small Business
SE	Systems Engineering
SECDEF	Secretary of Defense
SES	Senior Executive Service
SHCPU	Strategic Human Capital Plan Update
SMC	Space and Missile Systems Center
SPAWAR	Space and Naval Warfare Systems Command
SPRDE	Systems Planning, Research, Development and Engineering
SSB	Senior Steering Board
STEM	Science, Technology, Engineering, and Mathematics
STRL	Science and Technology Reinvention Laboratory
SWP	Strategic Workforce Plan
SYSCOM	Systems Command
T&E	Test and Evaluation
TWI	Training with Industry
TY	then-year
USA	United States Army
USAF	United States Air Force
USC	United States Code
USD	Undersecretary of Defense
USD(AT&L)	Undersecretary of Defense for Acquisition, Technology, and Logistics
USD(C)	Under Secretary of Defense, Comptroller
USD(P&R)	Undersecretary of Defense for Personnel and Readiness
USMC	United States Marine Corps
USN	United States Navy
WCF	Working Capital Fund
WMG	Workforce Management Group
YOS	years of service
YRE	years to retirement eligibility

1. Introduction and Background

1.1 Purpose of Study

This report is submitted in accordance with the requirements of section 845 of the National Defense Authorization Act for Fiscal Year 2016 (NDAA for FY2016), Independent Study of Implementation of Defense Acquisition Workforce Improvement Efforts (Appendix A). As required in the legislation, we have assessed the strategic planning of Department of Defense's efforts to recruit, develop, and retain its acquisition workforce (AWF) with respect to the Defense Acquisition Workforce Improvement Act (DAWIA); the Defense Acquisition Workforce Development Fund (DAWDF); and the effectiveness of professional military education (PME), to include fellowships and exchanges with industry.

This report reviews guidance, statute, and policy related to the AWF, which has varied significantly over time—from large personnel cuts in the 1990s due to "acquisition reform" and legislated reductions to personnel increases and advocacy from the mid-2000s to the present. Particularly in the latter period, the Under Secretaries of Defense for Acquisition, Technology, and Logistics (USD(AT&L)s) have championed the AWF and instituted a number of policies and initiatives to increase the professionalism and knowledge of AWF personnel. There are, however, still several areas where additional emphasis would be beneficial.

Structure of Report

This report is structured to provide an overview of the elements constituting the AWF, background of key legislation and policy that have been implemented in this area, an overview of AWF planning in regard to strategic planning and workforce shaping, and then a review of each of the key tenets of AWF management—recruitment, development, and retention—in terms of the Defense Acquisition Workforce Improvement Act (DAWIA), Defense Acquisition Workforce Development Fund (DAWDF), and professional military education (PME). Throughout the report, we will identify key observations and, where appropriate, recommendations with respect to statutes, policies, business rules, and processes. These observations and recommendations are then aggregated in the Summary chapter at the end of the report.

1.2 Defense Acquisition Workforce (AWF)

The Department of Defense (DOD) Acquisition Workforce (AWF) is a complex entity, representing a broad array of specialties grouped into 15 career fields. It comprises a combination of career fields that are both unique to acquisition (e.g., Program Management) and department-wide in nature (e.g., Financial Management). In addition, individuals in DOD who have attained Defense Acquisition Workforce Improvement Act (DAWIA) certification are considered to be part of the AWF only when they are physically assigned to an AWF-coded position, with such consideration lost when they occupy a non-AWF billet.

The Human Capital Initiatives (HCI) office, which reports directly to the Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L)), tracks all AWF personnel, across 41 DOD "Components." These 41 Components include each of the four military Services and 37 DOD organizations—with the collection of DOD organizations being referred to as the "Fourth Estate." In this report, we will capitalize the terms "Service" and "Component" to clearly identify when we are referencing military Services or AWF Component(s) (with the latter to include all Services). Some comparisons will also be presented with aggregated data for the Fourth Estate Components versus the four military Services.

Defining, Counting, and Tracking the AWF

There is a tendency to view the Defense AWF as a homogenous group, but it is actually an amalgamation of personnel identified by each DOD Component as occupying AWF-coded billets. While overarching guidance and certification criteria are standardized across DOD under the guidance of the Office of the USD(AT&L) (OUSD(AT&L)), the process for identifying AWF billets; the mix of civilian and military AWF billets; and the number of AWF personnel, in most cases, are uniquely determined by each Component.

In defining the Defense AWF, there are two key references in statute:

Title 10 U.S. Code

Section 1721. Designation of acquisition positions

(a) Designation. The Secretary of Defense shall designate in regulations those positions in the Department of Defense that are acquisition positions for purposes of this chapter.

(b) Required Positions. In designating the positions under subsection (a), the Secretary shall include, at a minimum, all acquisition-related positions in the following areas:

(1) Program management.

(2) Systems planning, research, development, engineering, and testing.

(3) Procurement, including contracting.

(4) Industrial property management.

(5) Logistics.

(6) Quality control and assurance.

(7) Manufacturing and production.

(8) Business, cost estimating, financial management, and auditing.

(9) Education, training, and career development.

(10) Construction.

(11) Joint development and production with other government agencies and foreign countries.

(c) Management Headquarters Activities. The Secretary also shall designate as acquisition positions under subsection (a) those acquisition-related positions which are in management headquarters activities and in management headquarters support activities. For purposes of this subsection, the terms "management headquarters activities" and "management headquarters support activities" have the meanings given those terms in Department of Defense Directive 5100.73, entitled "Department of Defense Management Headquarters and Headquarters Support Activities," dated November 12, 1996.

Section 115b. Biennial strategic workforce plan

(d) Defense Acquisition Workforce. (1) Each strategic workforce plan under subsection (a) shall specifically address the shaping and improvement of the military, civilian, and contractor personnel that directly support the acquisition processes of the Department of Defense, including persons serving in acquisition-related positions designated by the Secretary of Defense under section 1721 of this title.

As described in the FY2009 DOD Civilian Strategic Human Capital Plan Update [1], DAWIA and USD(AT&L) provide overarching guidance on what constitutes an acquisition position, and Components determine the actual AWF-coded positions based on this guidance, with the "AWF Count" representing the actual number of personnel who are currently occupying these AWF-coded positions.

> The Defense Acquisition Workforce Improvement Act (DAWIA), 10 USC Chapter 87, Section 1721, establishes requirements for designating defense acquisition positions. Each DOD Component (e.g., Army, Navy, Air Force, and other DOD agencies) is responsible for reviewing positions to determine if job responsibilities are predominantly acquisition. If so, the position is designated as an acquisition position by type (critical acquisition position [CAP], key leadership position [KLP], other) and by

career path within a functional career field category (program management, contracting, etc.).

In implementing DAWIA, DOD has established 15 acquisition career fields that constitute the AWF.

1. Auditing
2. Business–Cost Estimating
3. Business–Financial Management
4. Contracting
5. Engineering
6. Facilities Engineering
7. Industrial/Contract Property Management
8. Information Technology
9. Life Cycle Logistics
10. Production, Quality, and Manufacturing
11. Program Management
12. Purchasing
13. Science and Technology Manager
14. Small Business
15. Test and Evaluation

AWF career fields have evolved over time, with the most recent change being the addition of Small Business by the USD(AT&L), effective October 1, 2014. For the most part, however, the acquisition occupations (individual job series) have remained consistent, with differences being either to change terminology (e.g., Systems Planning, Research, Development and Engineering (SPRDE) to Engineering) or to increase visibility (e.g., breaking apart Business, Cost Estimating, and Financial Management (BCFM) into Business–Cost Estimating and Business–Financial Management). Given the recent addition, AWF summaries do not include Small Business personnel, but they will be added in the future.

Defense "AWF Count"

Before reviewing the number and distribution of the AWF, it is important to understand what is, and what is not, included in the "AWF Count" and how these counts have evolved over time. Since the 1980s, three methods have been used to count the AWF.

- The **Acquisition Organization Count** was developed by the President's Blue Ribbon Commission on Defense Management (aka the "Packard Commission") and tracked from 1986 to 2004. This methodology counted personnel assigned to a defined set of 22 acquisition organizations (e.g., Army Materiel Command, Air Force Systems Command, etc.) as members of the AWF. In this count, all personnel in the organization, regardless of

specialty, were included in the count—and acquisition certified personnel not in these organizations were not counted.

- The **Refined Packard Count**, used from 1998 to 2004, resulted from a study by Jefferson Solutions [4] in 1999, based on direction from the USD(AT&L) in a November 1998 memo. This approach defines AWF members based on occupation series and duties performed. Appendix B includes the specific list of Category I and Category II occupations from the report; a third category was added later to improve count accuracy. Key aspects of each category are:
    - Category I occupations: Acquisition-specific (e.g., contracting), so all personnel in these occupations were counted as AWF members, no matter where they worked in DOD.
    - Category II occupations: Occupations whose personnel occupy positions both related and non-related to acquisition (e.g., engineering, financial management, etc.). Personnel in these occupations were counted as members of the AWF only when they performed acquisition-specific duties.
    - Category III occupations: This category was added to provide flexibility and improve accuracy of overall AWF counts. The category allowed organizations to identify and count military and civilian personnel performing acquisition functions that were not covered in the first two categories.
- The **DAWIA Count**, used from 2004 to the present, counts the number of personnel assigned to positions that require DAWIA Level I, II, or III certification—AWF-coded positions—as defined and identified by each Component. This methodology counts AWF personnel based on their position's acquisition responsibilities, independent of the organization in which they work. This method does not count DAWIA-certified personnel who are not currently assigned to AWF-coded positions.

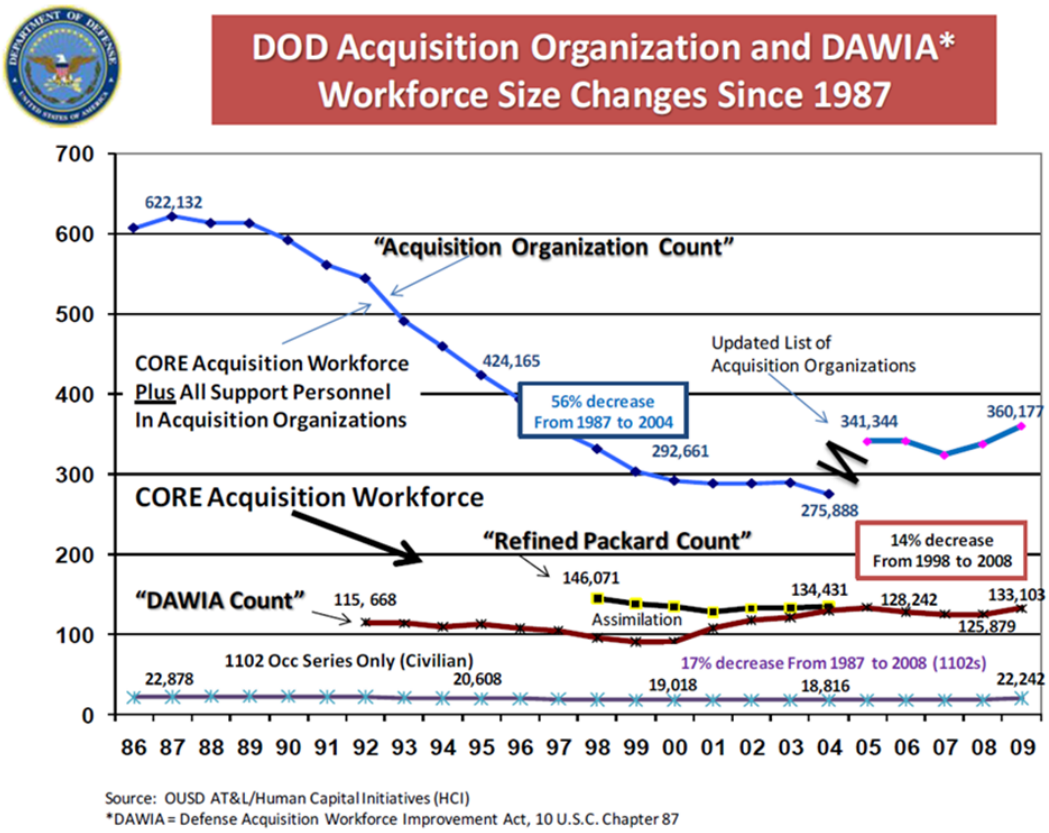
The fact that there are DAWIA-certified personnel within DOD who are not included in the AWF count has two significant implications: First, there is some currently unknown number of acquisition personnel who might be available to fill critical vacancies. And second, tracking the flow of personnel into and out of the AWF can provide valuable planning insight on the proportion of AWF departures that are typically temporary (e.g., career broadening, schools, command tours, etc.) versus permanent. One category of personnel in which this could provide additional insight is described in Title 10 USC, section 1722a, Dual-Track Military Professionals in Operational and Acquisition Specialties.

Observation 1: *Personnel within DOD who have DAWIA Level I, II, and III certifications, but who are not currently occupying an identified AWF position are not counted or tracked as part of the AWF.*

Recommendation 1: *DOD should track the number and composition (career field and certification level) of these personnel to provide insight into the total number of DAWIA-certified personnel within the Department and how they transition into and out of the AWF.*

Figure 1, from the April 2010 AWF Appendix to the DOD Strategic Human Capital Plan Update (SHCPU) [1], compares these counts over time. As shown, they vary in how they count the workforce. All reporting is now done using the DAWIA Count.

Figure 1. DOD Acquisition Workforce Count Comparison, 1986–2009



Source: DOD Strategic Human Capital Plan Update, April 2010 [1].

Requirements Generation Personnel

Section 801 of the NDAA for FY2007 added a requirement for USD(AT&L), in consultation with DAU, to develop a training program to certify military and civilian personnel "with responsibility for generating requirements for major defense

acquisition programs [MDAPs]." DAU has implemented courses to fulfill this requirement, but although training requirements are standardized across DOD, experience requirements are often unique to Components and individuals who have earned this certification and are not centrally tracked. These requirements development personnel are not included as part of the AWF count.

Observation 2: *DOD does not currently have standardized experience requirements or a centralized database of all DOD personnel who have been certified for operational requirements development.*

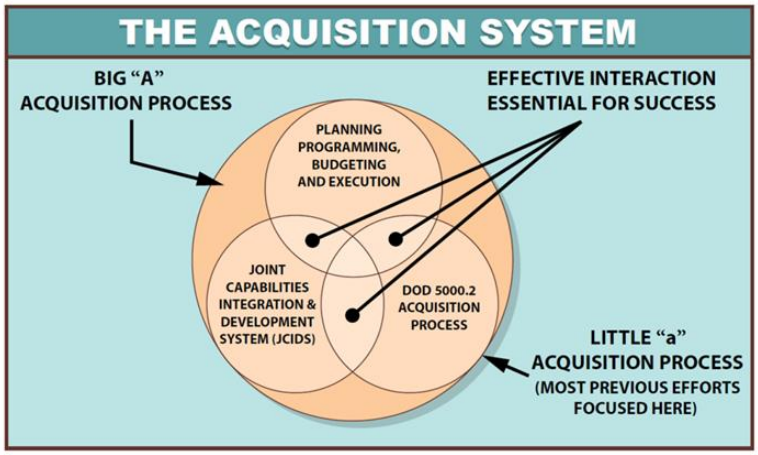
Recommendation 2: *DOD should continue ongoing efforts with respect to further standardizing experience requirements for these personnel and investigate the establishment of a database, similar to the USD(AT&L) Data Mart for personnel certified for operational requirements development.*

Big "A" versus Little "a" Acquisition Functions

We also note that recent legislation has emphasized the role of personnel involved in operational requirements definition, specifically adding acquisition training requirements for these personnel. Although operational requirements provide the basis for acquisition programs, and the training in requirements definition will be accomplished by the Defense Acquisition University (DAU), personnel who perform these functions are not part of the Defense AWF.

We will build on the concept of Big "A" versus Little "a" acquisition that was presented in the 2007 Defense Acquisition Performance Assessment (DAPA) Report [5] to provide some additional context for this differentiation. Figure 2, from the DAPA report, shows the processes associated with DOD acquisitions—requiring synchronized efforts of the funding process (Planning, Programming, Budgeting, and Execution (PPBE)); the requirements definition process (Joint Capabilities Integration and Development System (JCIDS)); and the acquisition process (as defined in DOD Instruction (DODI) 5000.02 [6]). The efforts of the DODI 5000.02 acquisition process are referred to as "Little 'a' acquisition."

Figure 2. Big "A" versus Little "a" Acquisition



Source: Defense Acquisition Performance Assessment Report, January 2006 [5].

Although all three processes are required for success in acquisition, the personnel who perform each of the processes are very different. In most cases, the personnel associated with JCIDS and PPBE are from a wide variety of occupations, and are performing these roles for a small portion of their careers. Because the JCIDS process is overseen by the Joint Staff and represents the formulation and documentation of the operators' requirements, the majority of personnel are operational users assigned to warfighting commands.

Current Composition of the Defense AWF

Size and Composition

Table 1 shows the composition of the Defense AWF, by career field, at the end of the fourth quarter of FY2015 (FY15Q4). Annual reporting and analysis have historically been done based on end-of-FY data, so our analysis will focus on trends seen through FY15Q4, with some notes on early FY2016 data, when we believe a significant change is indicated. AWF counts throughout this report will be based on the current DAWIA Count methodology.

We will discuss historical AWF personnel levels and trends in more detail in Chapter 3 ("Management of the Defense AWF"), where we will review how DOD and individual projections of AWF staffing levels, by career field, have compared to actual execution and the implications of the differences for the planning of training and subsequent-year force planning.

Table 1. AWF Size, by Career Field, 4th Quarter FY2015

Career Field	FY15Q4
Auditing	4,316
Business	7,551
Cost Estimating	*1,346*
Financial Management	*6,205*
Contracting	30,230
Engineering	41,050
Facilities Engineering	6,986
Information Technology	6,402
Life Cycle Logistics	19,222
Production, Quality, and Manufacturing	9,822
Program Management	16,585
Industrial and Contract Property Mgmt	400
Purchasing	1,330
Science & Technology Manager	3,681
Test and Evaluation	8,692
Unknown/Other	46
Total	**156,313**

Source: Defense Acquisition Workforce Key Information, as of FY15Q4, http://www.hci.mil/data_archives.html.

As one would expect, AWF size varies greatly among Components. Table 2 shows the number of AWF personnel for the eight largest Components—which represent 98 percent of the total AWF—and include the four Services, the Defense Contract Audit Agency (DCAA), Defense Contract Management Agency (DCMA), Defense Logistics Agency (DLA), and Missile Defense Agency (MDA). As we review trends and AWF composition, we will focus primarily on these eight Components, or on a comparison of the Fourth Estate DOD agencies/organizations and each of the military Services.

Although data for the U.S. Navy (USN) and U.S. Marine Corps (USMC) are often consolidated into a single Department of Navy (DON) category, we will, when possible, break them out the data into two separate Components. We do this because, although the DON Service Acquisition Executive (SAE) is responsible for both Components, they are separately managed within the USN and USMC, and the vast size difference results in the USN numbers overwhelming the USMC values.

Observation 3: *The significant difference in the sizes of the U.S. Navy and Marine Corps AWFs results in Marine Corps trends being obscured by U.S. Navy data trends when aggregated at the DON level.*

Recommendation 3: *Separately track and analyze data for the USN and USMC Components, as is done for the Air Force and Army.*

Table 2. Components with Largest Number of AWF Personnel

Component	AWF Size (FY15Q4)	FY15 Cumulative Percent
USN	54,736	35%
USA	36,633	58%
USAF	35,665	81%
DCMA	9,773	88%
DLA	7,329	92%
DCAA	4,322	95%
USMC	2,829	97%
MDA	1,892	98%
All Other Components	3,134	100%

Source: Defense Acquisition Workforce Key Information, as of FY15Q4

DAWIA Certification

DODI 5000.66: Operation of the Defense Acquisition, Technology, and Logistics Workforce Education, Training, and Career Development Program [7], establishes three certification levels for all AWF career fields, which help define a standard education, training, and career development path:

- **Basic (Level I) certification** establishes a minimum level of qualifications and expertise for AWF members in each career field. These standards include education and training courses, on-the-job experience, and assignments.
- **Intermediate (Level II) certification** involves increased functional specialization and career-broadening experiences (which may involve multi-functional development) designed to provide skills needed to assume positions of greater responsibility.
- **Advanced (Level III) certification** indicates mastery of functional and core competencies required to fill critical acquisition positions (CAPs) and key leadership positions (KLPs) in the AWF.

Table 3 displays the number of AWF members who had achieved Level I, II, or III certification, by career field and regardless of position occupied, in FY2015. Of those personnel noted in the "No Level Achieved" column, 85 percent were within the 24-month grace period for earning the required certification.

Table 3. Number of AWF Members, by Certification Level, FY15Q4

Career Field	No Level Achieved	Level I	Level II	Level III
Auditing	228	467	2,117	1,504
BCFM	1,469	955	2,162	2,965
Contracting	3,754	2,469	11,809	12,198
Engineering	4,828	4,387	8,239	23,596
Facilities Engineering	1,331	166	3,443	2,046
ICPM	90	23	225	62
Information Technology	1,676	1,042	1,781	1,903
Life Cycle Logistics	3,407	2,119	6,294	7,402
PQM	1,830	999	4,926	2,067
Program Management	2,275	1,997	4,308	8,005
Purchasing	529	185	536	80
S&T Manager	696	335	763	1,887
Test and Evaluation	1,607	952	1,701	4,432
Total	**23,720**	**16,096**	**48,304**	**68,147**

Source: Defense Acquisition Workforce Key Information, as of FY15Q4.

In three of the career fields—Engineering, Science and Technology Manager, and Test and Evaluation—over half of the workforce had achieved Level III certification, as had nearly half (48 percent) of Program Managers. In Auditing; Facilities Engineering; Production, Quality, and Manufacturing; and Industrial and Contract Property Management, over half of the workforce was at Level II certification.

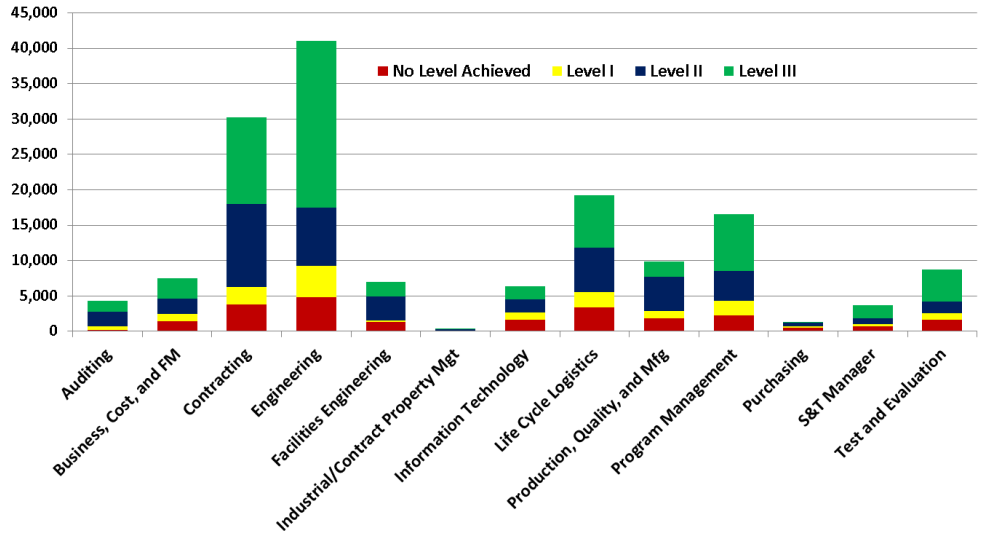
Much of our later analysis will deal with comparing strategic workforce planning from 2009 to actual results in 2015. Because several changes were made in career field designations, Table 4 provides a crosswalk of these designations and their associated abbreviations.

Table 4. Comparison of career field names in 2009 versus 2015

2009 Abbreviation	2009 AWF Career Fields	2015 AWF Career Fields	2015 Abbreviation
AUDIT	Auditing	Auditing	AUDIT
BCFM	Business, Cost Estimating, Financial Management	Buiness – Cost Estimating	BUS-CE
		Business – Financial Management	BUS-FM
CON	Contracting	Contracting	CON
FAC ENG	Facilities Engineering	Facilities Engineering	FAC ENG
I&CPM	Industrial and Contract Property Management	Industrial and Contract Property Management	I&CPM
IT	Information Technology	Information Technology	IT
LCL	Life Cycle Logistics	Life Cycle Logistics	LCL
OTHER	Other	Other	OTHER
PQM	Production, Quality & Manufacturing	Production, Quality & Manufacturing	PQM
PM	Program Management	Program Management	PM
PURCH	Purchasing	Purchasing	PURCH
		Small Business	SB
SPRDE-S&T MGR	Systems Planning, Research, Development, and Engineering – Science and Technology Manager	S&T Manager	S&T MGR
SPRDE-SE	Systems Planning, Research, Development, and Engineering – Systems Engineering	Engineering	ENG
T&E	Test and Evaluation	Test and Evaluation	T&E

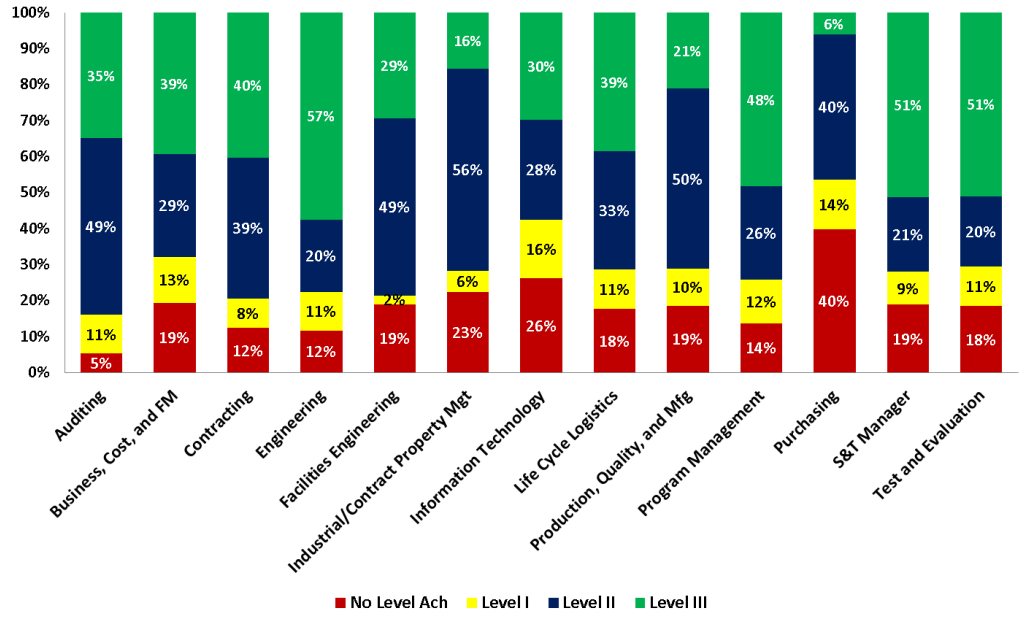
Figure 3 shows the number of AWF personnel, by career field, who have achieved each DAWIA certification level, or "No Level Achieved" for those who have not yet reached Level I. Given the difference in quantities among career fields, we have displayed these same data as percentages of the career field total in Figure 4. Most notable in Figure 4 is the fact that over 40 percent of personnel in the Purchasing career field have not yet achieved Level I certification, with another 14 percent having only achieved Level I. We will discuss how the personnel certification levels match the actual AWF billet requirements in Chapter 6 ("Training and Development").

Figure 3. Number of AWF members certified at each Level, by career field



Source: Human Capital Initiatives Office, as of FY15Q4.

Figure 4. Percent of AWF members certified at each Level, by career field



Source: Human Capital Initiatives Office, as of FY15Q4.

Table 5 displays the numbers and percentages of AWF members, by career field, who met certification requirements for their jobs in FY2015. Overall, 78 percent of the AWF met the required certification level for the billet they occupied for the Auditing, Contracting, Engineering, and the Facilities Engineering career fields. By contrast, less than 70 percent of the workforce met the certification requirements for their billets in the Business, Information Technology, and Purchasing career fields.

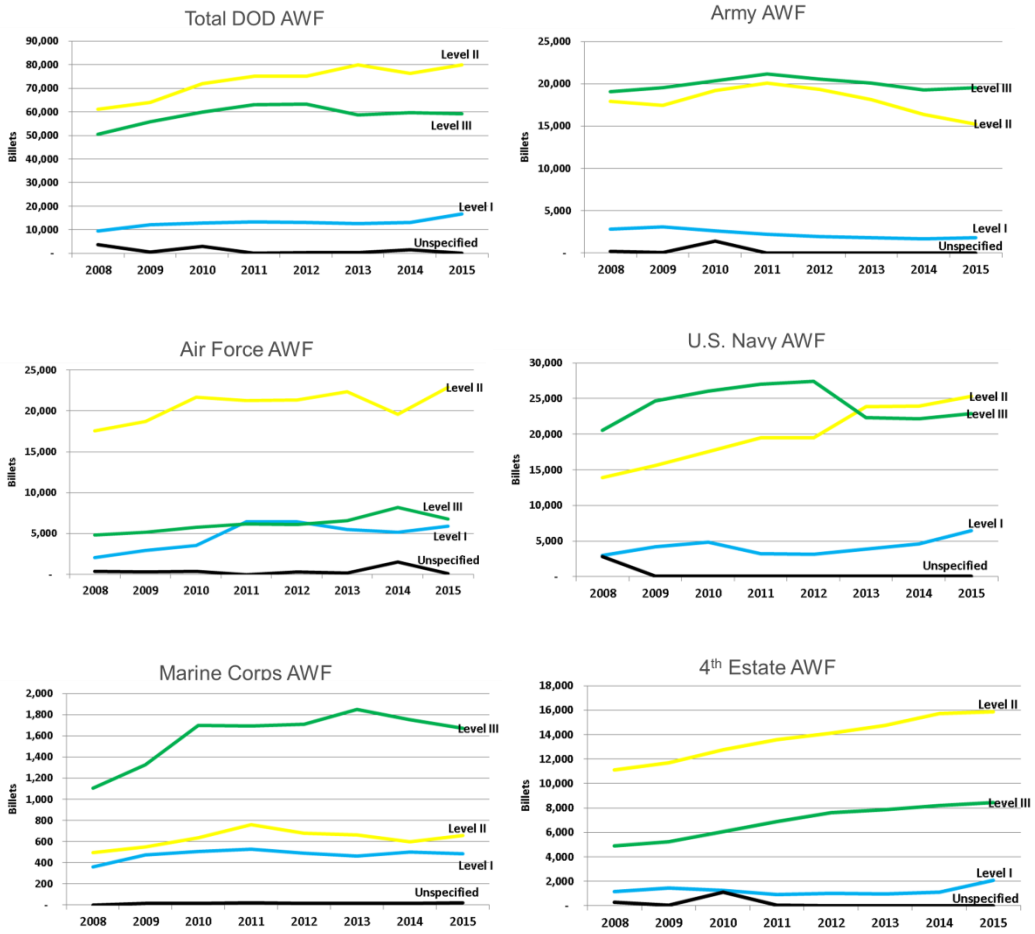
Table 5. Number and Percentage of AWF Members Whose Certification Level Met Job Requirements, by Career Field, FY15Q4

Career Field	Meets Requirement	
	No.	Pct.
Auditing	3,606	84%
Business	5,177	69%
Contracting	24,057	80%
Engineering	33,338	81%
Facilities Engineering	5,288	76%
Information Technology	4,123	64%
Life Cycle Logistics	13,991	73%
Production, Quality, and Mfg	7,108	72%
Program Management	12,103	73%
Industrial and Contract Property Mgt	276	69%
Purchasing	701	53%
Science and Technology Manager	2,713	74%
Test and Evaluation	6,236	72%
Total	**118,714**	**76%**

Source: Defense Acquisition Workforce Key Information, as of FY15Q4, http://www.hci.mil/data_archives.html.

In reviewing certification level requirements, we found implementation varied among Components. As shown in Figure 5, the number of Level II positions (vice personnel) is higher than the number of Level III positions for DOD overall, the Air Force, and the U.S. Navy, but the Army and Marine Corps have higher numbers of Level III. These differences are neither good nor bad, but they do indicate a difference in how the Services and Fourth Estate Components have determined the mix of Level I, II, and III requirements for their organizations.

Figure 5. Comparison of Level I, II, and III personnel, by Service and Fourth Estate



Source: Human Capital Initiatives Office, as of FY15Q4.

Observation 4: *Data aggregated at the DOD level provide insight into the overall composition of the AWF, but insight into trends and unique implementation by each Component requires evaluation at the Component and career field level.*

Recommendation 4: *Data should be compiled and analyzed by career field at both the DOD Total and the Component level for the eight Components with the largest AWF populations, as is typically displayed in the career field slides on the HCI website.*

Acquisition Corps

The Acquisition Corps is a subset of the AWF and is defined in DODI 5000.52 [8], "Defense Acquisition, Technology, and Logistics Workforce Education, Training, and Career Development Program":

> Defense Acquisition Corps, hereafter referred to as the "Acquisition Corps," is a pool of highly qualified members of the AT&L workforce to fill CAPs. It is composed of those persons who have met the standards prescribed by reference (b) and this Directive, and who have been granted admission to the Acquisition Corps by the USD(AT&L) or by a CAE [Component Acquisition Executive] to whom this authority has been delegated.

Criteria for membership in the Acquisition Corps are outlined in Title 10 U.S.C., section 1732, "Selection Criteria and Procedures," DOD Instruction (DODI) 5000.66, "Operation of the Defense Acquisition, Technology, and Logistics Workforce Education, Training, and Career Development Program," and DODI 5000.52.

Eligibility for the Acquisition Corps is determined by education (for example, a bachelor's degree plus additional coursework in the individual's career field, or in disciplines such as accounting, business, finance) and experience level (four years of service in an AT&L position either in the DOD or in a comparable position in industry or government is required). Criteria used to determine the best-qualified candidate for KLPs include Level III certification in any career field, functional area competencies in an additional field, participation in cross-functional assignments/rotations and broadening assignments, and holding a relevant advanced academic degree.

Critical Acquisition Positions (CAPs) and Key Leadership Positions (KLPs)

DOD Directive 5000.52 [8] also establishes criteria for identification of CAPs and KLPs, as required by Title 10 U.S.C., sections 1733 and 1706, respectively. CAPs are senior acquisition positions designated by DOD Component Acquisition Executives (CAEs) in accordance with DAWIA provisions, typically including positions in which the primary duties are supervisory or managerial. KLPs are CAPs selected by CAEs and approved by the USD(AT&L). KLPs typically include Program Executive Officers (PEOs), program managers (PMs), and deputy program managers of major defense acquisition programs, as well as PEOs and PMs of non-major programs. DOD Instruction 5000.66 [7] provides guidance on selection and placement of CAPs and KLPs.

Table 6 shows the number of AWF members working in Critical Acquisition Positions (CAPs) or Key Leadership Positions (KLPs) in FY2015.

Table 6. Number of AWF Members Working in CAPs or KLPs by Career Field, FY2015

Career Field	Position Types			
	KLPs		CAPs	
	No.	Pct	No.	Pct
Auditing	0	0%	191	4%
Business	170	2%	804	11%
Cost Estimating	*51*	*4%*	*169*	*13%*
Financial Management	*119*	*2%*	*635*	*10%*
Contracting	141	0%	2,869	9%
Engineering	155	0%	4,236	10%
Facilities Engineering	1	0%	204	3%
Information Technology	5	0%	299	5%
Life Cycle Logistics	99	1%	1,113	6%
Production, Quality, and Mfg	16	0%	370	4%
Program Management	417	3%	3,908	24%
Industrial and Contract Property Mgt	0	0%	9	2%
Purchasing	0	0%	1	0%
Science & Technology Manager	9	0%	799	22%
Test and Evaluation	76	1%	919	11%
Total	**1,089**	1%	**15,728**	10%

Source: Defense Acquisition Workforce Key Information, as of FY15Q4, http://www.hci.mil/data_archives.html.

About 10 percent of Defense AWF personnel are assigned CAPs, with the Program Management and Science and Technology Manager career fields having a particularly high percentage of their members in CAPs. Approximately 1 percent of the AWF are in KLPs, with Business–Cost Estimating and Program Management having the highest proportion of KLPs.

Prior Studies and Reports

A number of prior studies and reports have either directly addressed or included comments regarding the Defense AWF:

- President's Blue Ribbon Commission on Defense Management (also known as the "Packard Commission") (June 1986) [9]
- DOD IG Audit Report, *DOD Acquisition Workforce Reduction Trends and Impacts* (February 2000) [10]

- DOD Acquisition 2005 Task Force, *Shaping the Civilian Acquisition Workforce of the Future* (October 2000) [11]
- Defense Acquisition Performance Assessment [DAPA] Report (January 2006) [5]
- DOD IG, *Human Capital: Report on the DOD Acquisition Workforce Count* (April 2006) [12]
- *Defense Acquisition Structures and Capabilities Review* (June 2007) [13]
- AT&L Human Capital Strategic Plan v 3.0 (2007) [14]
- Business Executives for National Security (BENS) report, *Getting to Best: Reforming the Defense Acquisition Enterprise* (July 2009) [15]
- DOD's *Strategic Human Capital Plan Update: The Defense Acquisition Workforce* (April 2010)
- GAO report, *Defense Acquisition Workforce: Improved Processes, Guidance, and Planning Needed to Enhance Use of Workforce Funds* (June 2012)
- RAND's Analyses of the Department of Defense Acquisition Workforce: Update to Methods and Results through FY2011 (2013)
- GAO Report, *High-Risk Series: An Update* (February 2015) [16].

These studies note the importance of the AWF in any effort to improve DOD acquisition, and many address the harmful effects of the AWF reductions implemented in the 1990s. There is also a common theme that quality and experience of the AWF personnel are more important than mere numbers, although studies in the 2000s note the shortage of AWF personnel in a time of increasing requirements.

1.3 Differences in Major Components' AWF Implementation and Composition

As described in the previous section, although USD(AT&L) provides overarching guidance and oversight for the Defense AWF, each of the Services and the Fourth Estate Components has a unique organizational construct and AWF needs. As a

result, each Component has implemented different operating models for its AWF program. The most salient differences are summarized below; personnel numbers are as of the fourth quarter of FY2015 (FY15Q4).

Military Service AWF Differences

Department of the Air Force

The Air Force has a single four-star command, Air Force Materiel Command (AFMC), and a three-star center, Air Force Life Cycle Management Center (AFLCMC), that are responsible for manning, training, and equipping the acquisition organizations at Hanscom AFB, Massachusetts; Wright-Patterson AFB, Ohio; and Eglin AFB, Florida. Oversight and management of the Air Force's Space and Missile Systems Center (SMC) at Los Angeles AFB (in El Segundo, California) are done by the four-star Air Force Space Command (AFSPC) in Colorado Springs, Colorado. The Air Force has the largest number of AWF military officers among the Services, the primary reason being that the Air Force has an acquisition career track that is established following commissioning (at the Second Lieutenant (0-1) grade). The other Services require individual officers to make that career choice later, typically at the grade of Major/Lieutenant Commander (0-4) or Lieutenant Colonel/Commander (O-5) in a line officer's career. This allows the Air Force to achieve a greater level of stability and predictability in the military portion of its AWF. The Air Force also uses federally funded research and development centers (FFRDCs) to a greater extent than other Services to supplement its AWF, especially the engineering disciplines. The primary reason for this is somewhat historical, as the Air Force was born out of the Army Air Corps without any traditional or historical organic engineering infrastructure such as those maintained by the Army and Navy. Consequently, the Air Force turned to FFRDCs to fill that role. The MITRE Corporation and Aerospace Corporation are the two primary providers, at Hanscom AFB and Los Angeles AFB, respectively.

The Air Force's Program Executive Officers' (PEO) offices are not all co-located with AFMC and AFLCMC at Wright-Patterson AFB, but are instead co-located with subordinate acquisition program offices at the four main acquisition locations around the United States, and with the Joint Strike Fighter (JSF) Program Office in Crystal City, Virginia.

Department of the Army

Much like the Air Force, the Army has a single four-star Materiel Command that is responsible for manning, training, and equipping its PEOs, but has a unique arrangement among the other Services: The Army acquisition executive controls the budget for a certain amount of "core" acquisition personnel—approximately 13 percent of the Army AWF—which are the PEOs and their immediate staffs. All other positions are matrixed from the Materiel Command. This arrangement allows the

Army acquisition executive more control over the programming and budgeting aspects of the annual process to budget for, and "buy," AWF personnel in order to meet staffing requirements. Also, the Army Corps of Engineers is included as part of the Army's AWF, and there are discussions about increasing the number of AWF Facilities Engineers within the Army to align with Navy implementation in this career field. In some cases, the Army may have more centralized management of career fields, such as the Army's Contracting Command, led by a Major General and servicing all of the Army's contracting needs and its civilian 1102 occupation series (Contracting) employees.

At the end of FY2015, the Army AWF was 95 percent civilian and 5 percent military, with over 95 percent of the military AWF members being in the Contracting or Program Management career fields. Army officers are competitively selected for accession into the AWF at the rank of Captain (O-3) or Major (O-4).

Department of the Navy

The Department of the Navy (DON) includes both the U.S. Navy and the U.S. Marine Corps. The DON typically transitions military officers (line officers) into the AWF career fields at the ranks of Lieutenant Commander/Major (0-4) or Commander/Lieutenant Colonel (O-5). The DON also populates the AWF with Supply Corps officers beginning at the start of a Supply Corps Officer's career (Ensign/Second Lieutenant), usually supporting contracting or logistics career field billets.

The Navy has the highest percentage of Engineers and Facilities Engineers in the AWF—representing 52 percent and 75 percent, respectively, of the personnel in these career fields.

The Navy also has a unique funding model for its AWF. About 60 percent of the Navy's AWF resides in organizations (usually engineering commands) that are funded through the Navy's Working Capital Fund (or WCF—an industrial fund model). The Navy has historically maintained a strong engineering capability organic to the Service's civilian workforce. There are several reasons for this type of organization, but primary among them is the Navy's commitment to having strong "in-house" technical knowledge of its warfighting systems, since they are often employed in isolated locations and long distances at sea. Unlike the Air Force and Army, the Navy does not have a four-star Materiel Command. Instead, the Navy has several two/three-star Systems Commands (SYSCOMs)[2] that operate somewhat

[2] DON SYSCOMs include Marine Corps Systems Command (MARCORSYSCOM), Naval Air Systems Command (NAVAIR), Naval Sea Systems Command (NAVSEA), Naval Supply Systems Command (NAVSUP), and the Space and Naval Warfare Systems Command (SPAWAR).

independently, but all reporting to the Assistant Secretary of the Navy for Research, Development, and Acquisition (ASN(RD&A)) for their acquisition roles. Similar to the other service Material Commands, however, each of these SYSCOMs has the responsibility to man-train-equip the PEOs that are co-located with each SYSCOM and provide the requisite AWF personnel needed to achieve the program's objectives.

1.4 Study Methodologies

AWF Civilian and Military Composition

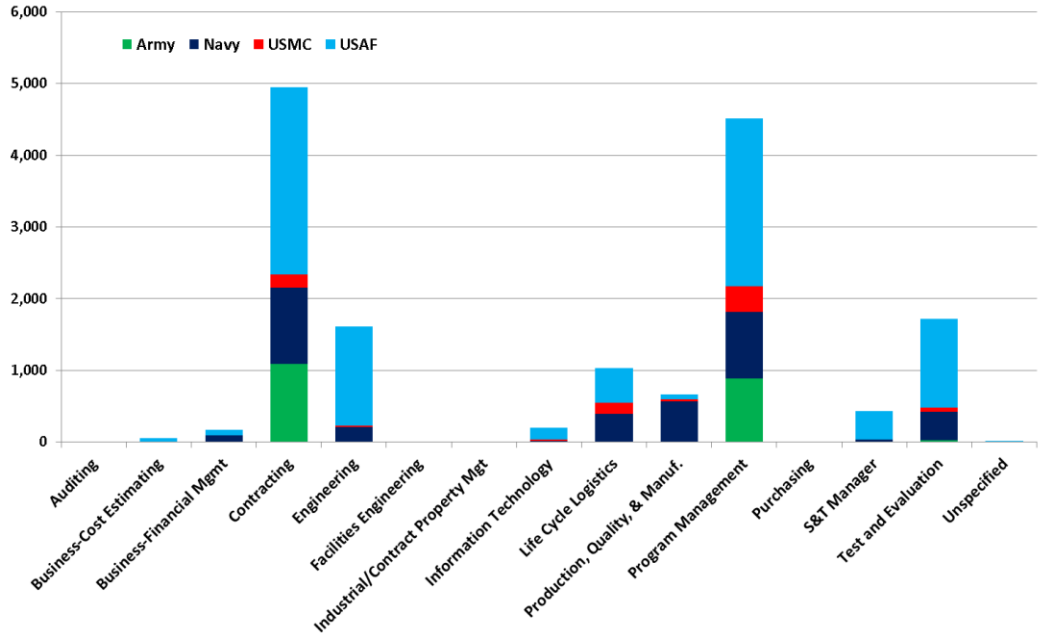
At the end of FY2015, the AWF comprised 156,313 personnel. Of these, 140,962 (90 percent) were government civilian personnel, and 15,351 (10 percent) were military—with all military AWF personnel assigned to one of the four military Services.

Military AWF personnel

All four Services have military AWF members, but the majority (8,828—58 percent) are in the Air Force. This share is due to both the Air Force's policy of assigning predominantly military to the AWF as Second Lieutenants (O-1s) and growing them within their career fields, and the number of career fields in which the Air Force has military members serving. Although each Service has military AWF members assigned to other Components, they are all reported directly in their parent Service's AWF numbers.

Figure 6 shows the number of Military AWF personnel, by career field, in each Service. These personnel occupy positions in 11 of the 14 reported career fields (Small Business is not currently reported and Unspecified includes six personnel who perform AWF-related duties in non-AWF career fields—for example, General Counsel).

Figure 6. Military AWF Personnel, by Service and Career Field (as of FY15Q4)



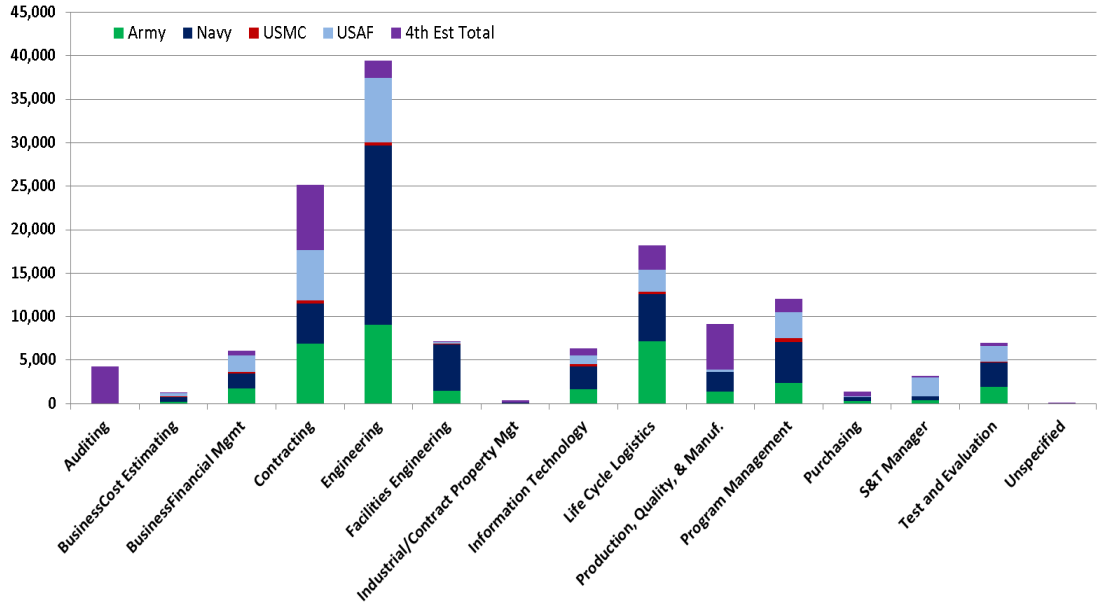
Source: Human Capital Initiatives Office, AT&L Data Mart.

As shown in Figure 6, the two career fields with the largest military representation are Contracting and Program Management—and Contracting includes both officer and enlisted personnel. Also of note, while three of the Services have military in 9 or 11 career fields, the Army has military in only four career fields—and 99 percent (1,976 of the 2,002) of these personnel are in the Contracting or Program Management career fields.

Civilian AWF Personnel

Figure 7 shows the number of AWF civilians, by career field, in each Service and the Fourth Estate—with personnel occupying positions in all 14 reported AWF career fields.

Figure 7. Civilian AWF Personnel, by Service and Career Field (as of FY15Q4)



Source: Human Capital Initiatives Office, AT&L Data Mart.

Several aspects of the civilian AWF in Figure 7 are of particular interest:

- Comparing Figure 7 with Table 1, we see that civilians constitute effectively 100 percent of the personnel in the Auditing, Facilities Engineering, Industrial and Contract Property Management, and Purchasing career fields—and at least 95 percent in the Business–Cost Estimating, Business–Financial Management, Engineering, Information Technology, and Life Cycle Logistics AWF career fields.

- Civilian AWF career field sizes range from 400 (Industrial and Contract Property Management) to 39,437 (Engineering).

- Some career fields are unique to the AWF (e.g., Program Management), while others include billets that are both AWF and non-AWF—sometimes within the same organization.

- 4,315 of 4,316 Auditing AWF personnel (effectively 100 percent) are assigned to the Defense Contract Audit Agency (DCAA).

- The majority of all civilian AWF Facilities Engineers (5,229 of 6,983—75 percent) and Engineers (20,605 of 39,437—52 percent) are in the U.S. Navy.

    - The Air Force uses predominantly federally funded research and development centers (FFRDCs) to support systems engineering efforts at

both Hanscom AFB (MITRE Corporation) and at Los Angeles AFB (Aerospace Corporation), which reduces the number of government engineers required.

- 2,277 of 3,681 (61 percent) of the Science and Technology Managers in the civilian AWF are in the Air Force.

Interviewees

The study team spoke with 35 individuals from across the Office of the Secretary of Defense (OSD), the Services, and the Fourth Estate. A listing of the personnel interviewed is in Appendix C.

Quantitative Data

Data for this report were gathered predominantly from the Human Capital Initiatives (HCI) office's data sources and products. These data are a compilation of inputs from each of the Components. Of particular note, USD(AT&L)'s Defense Acquisition Workforce Data Mart, overseen by HCI, is a valuable repository of detailed historical data on the AWF and its members, which formed the foundation for many of the data analytics throughout this report. In addition, the HCI office has contracted with the RAND National Defense Research Institute (NDRI) to maintain and analyze AWF demographic and years-to-retirement-eligibility (YRE) data.

2. Defense AWF Statute and Policy

2.1 Defense Acquisition Workforce Improvement Act (DAWIA)

Implementation of DAWIA

Passed in 1991, the Defense Acquisition Workforce Improvement Act (DAWIA) was intended to address acquisition workforce issues identified by DOD's August 1995 directed review of education and training and by the President's Blue Ribbon Commission on Defense Management (also known as the "Packard Commission"). These reviews found that the Defense AWF lacked needed skills and experience. The Packard Commission report, released in June 1986, covered a wide array of DOD areas, but included this assessment of the acquisition workforce:

> The defense acquisition work force mingles civilian and military expertise in numerous disciplines for management and staffing of the world's largest procurement organization. Each year billions of dollars are spent more or less efficiently, based on the competence and experience of these personnel. Yet, compared to its industry counterparts, this workforce is undertrained, underpaid, and inexperienced. Whatever other changes may be made, it is vitally important to enhance the quality of the defense acquisition workforce—both by attracting qualified new personnel and by improving the training and motivation of current personnel.

The 1991 DAWIA included a number of provisions intended to create more standardization across DOD acquisition personnel, implement oversight bodies to track and manage this workforce, and establish criteria associated with higher-level qualifications for both personnel (Acquisition Corps) and for positions (Critical Acquisition Positions (CAPs)). This original, 1991 DAWIA language

- tasked the Secretary of Defense (SECDEF) to establish policies and procedures for the effective management of persons serving in acquisition positions in DOD, and ensure, to the maximum extent practicable, acquisition workforce policies and procedures established in accordance with this chapter of DAWIA are uniform throughout DOD (section 1701);

- established the position of Director of Acquisition Education, Training, and Career Development (AET&CD) under USD(Acquisition) (section 1703);
- required appointment of a Director of Acquisition Career Management (DACM) for each military department (section 1705);
- required Service Acquisition Executives (SAEs) to establish acquisition career program boards (section 1706);
- required SECDEF to ensure appropriate career paths for acquisition personnel; limit preference for military personnel; and pursue a Balanced Workforce Policy (section 1722);
- required SECDEF to establish education, training, and experience requirements (section 1723);
- required SECDEF to "ensure that an Acquisition Corps is established for each of the military departments and one or more Corps, as he considers appropriate, for the other components of the Department of Defense" (section 1731); and
- required SECDEF to identify Critical Acquisition Positions (CAPs) (section 1733).

The content of DAWIA has evolved since its initial implementation in the early 1990s, but the intent remains the same—the recruitment, development, and retention of a professional, educated, and experienced workforce, able to properly manage the significant funding allocated to the development, procurement, and sustainment of DOD acquisition programs.

Several significant changes were made in the NDAA for FY2004, to include establishment of a single DOD "Acquisition Corps," where previous direction had been to ensure each military department had an Acquisition Corps. This NDAA also repealed the sections of DAWIA related to the Director, AET&CD (though this is now effectively the Director of HCI), the DACMs, and the acquisition career program boards.

Other key changes within DAWIA over subsequent years include the following:

- Extension of the Acquisition Demonstration (AcqDemo) Project.
- Section 801 of the NDAA for FY2007, which added a requirement for USD(AT&L), in consultation with DAU, to develop a training program to certify military and civilian personnel "with responsibility for generating requirements for major defense acquisition programs [MDAPs]."

- Establishment of the DAWDF in the NDAA for FY2008.
    - Addition of Expedited Hiring Authority (EHA) within DAWDF in the NDAA for FY2009—later made permanent in the NDAA for FY2016
    - Making the DAWDF permanent, as opposed to having a defined expiration date, in the NDAA for FY2016.
- Adding of section 1706, "Government performance of certain acquisition functions," in the NDAA for FY2013. Established mandatory key leadership positions (KLPs) as mandatory for MDAP and major acquisition information system (MAIS) programs. These positions are a subset of the critical acquisition positions identified in section 1733, "Critical Acquisition Positions."
- Multiple new standards/requirements for training/education.
- Re-establishment of the authority to conduct the Acquisition Demonstration (AcqDemo) project (section 1762), following the cancellation of the National Security Personnel System (NSPS) program, through December 31, 2020.

2.2 Defense Acquisition Workforce Development Fund (DAWDF)

Implementation of DAWDF

In response to perceived shortcomings in the quantity, quality, and experience of the Defense AWF, Congress established the Defense Acquisition Workforce Development Fund (DAWDF) in section 852 of the NDAA for FY2008, "to provide funds, in addition to other funds that may be available, for the recruitment, training, and retention of acquisition personnel of the Department of Defense." The NDAA codified DAWDF within DAWIA, in Title 10 USC, Chapter 87, section 1705. The Joint Explanatory for the NDAA for FY2016, Statement for the Conference Report, notes:

> The Senate amendment contained a provision (sec. 844) that would establish an acquisition workforce development fund to ensure that the Department of Defense (DOD) has the capacity, in both personnel and skills, needed to properly perform its mission, provide appropriate oversight of contractor performance, and provide the best value for the expenditure of public resources in DOD acquisitions. The fund would be financed through quarterly

> remittances by the military departments and defense agencies.... The Acquisition Advisory Panel chartered pursuant to section 1423 of the National Defense Authorization Act for Fiscal Year 2004 (Public Law 108–136) reported that the failure of DOD and other federal agencies to adequately fund the acquisition workforce is "'penny wise and pound foolish,' as it seriously undermines the pursuit of good value for the expenditure of public resources." The fund established by this provision is intended to address this problem by making the investments needed to reinvigorate the DOD acquisition workforce.

Key Attributes of DAWDF

The DAWDF, similar to other sections of DAWIA, has been amended in subsequent NDAAs, but the overarching purpose and intent remain unchanged. Congress has worked closely with DOD on ways to update this statute to provide improved flexibility and permanency to this funding vehicle. Key attributes of the DAWDF, as amended through the NDAA for FY2016, include the following:

- Funding for the DAWDF can come from three sources:
  - Funds appropriated, credited to, or deposited into the DAWDF by law;
  - Funds credited to the DAWDF as an applicable percentage of all amounts expended by DOD in a fiscal year for contract services, from amounts available for contract services for operations and maintenance (O&M); or
  - Funds transferred from unobligated procurement or research, development, test, and evaluation (RDT&E) appropriations, in the 36-month period following the expiration of availability for these appropriations (i.e., expired procurement and RDT&E funds).

- All funding placed into the DAWDF "shall remain available for obligation in the fiscal year for which credited, transferred, appropriated, or deposited and the two succeeding fiscal years."

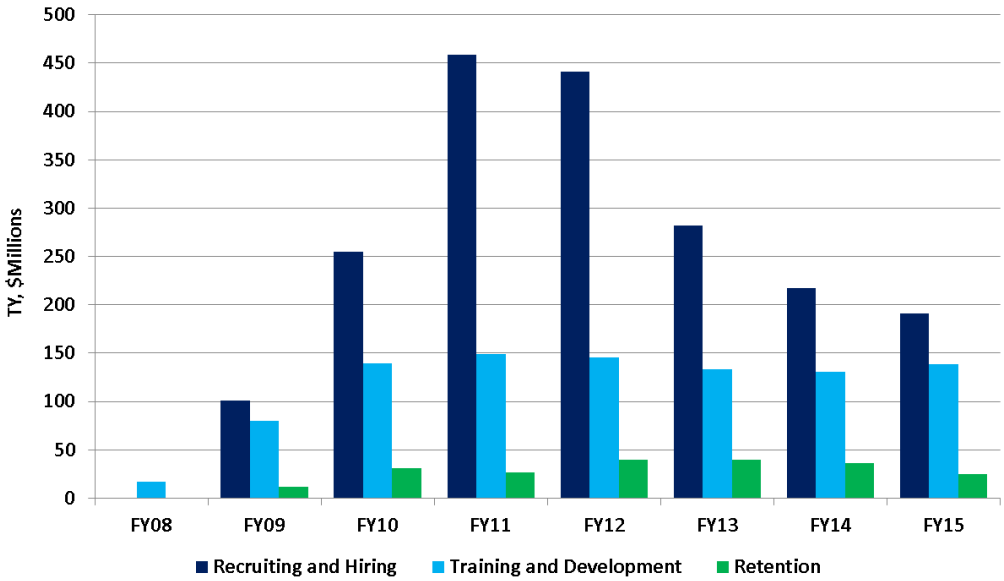
- DAWDF funds are to be used for the recruitment, training, and retention of acquisition personnel, to include training and retention incentives.

- USD(AT&L), acting through the HCI, is responsible for issuing guidance for administration of the fund, to include identifying areas of need in the AWF for which the funds can be used; describing the timing and process for applications for DAWDF funds; establishing the criteria for prioritizing DAWDF initiatives; and describing measurable performance objectives.

DAWDF Funding

Based upon the data in the DOD DAWDF Annual Reports to Congress, the fund obligated $3.09 billion of the DAWDF funds credited, appropriated, or deposited into the DAWDF account between FY2008 and FY2015. Figure 8 reflects, by category and fiscal year, how the funds were obligated—in then-year (TY) dollars.

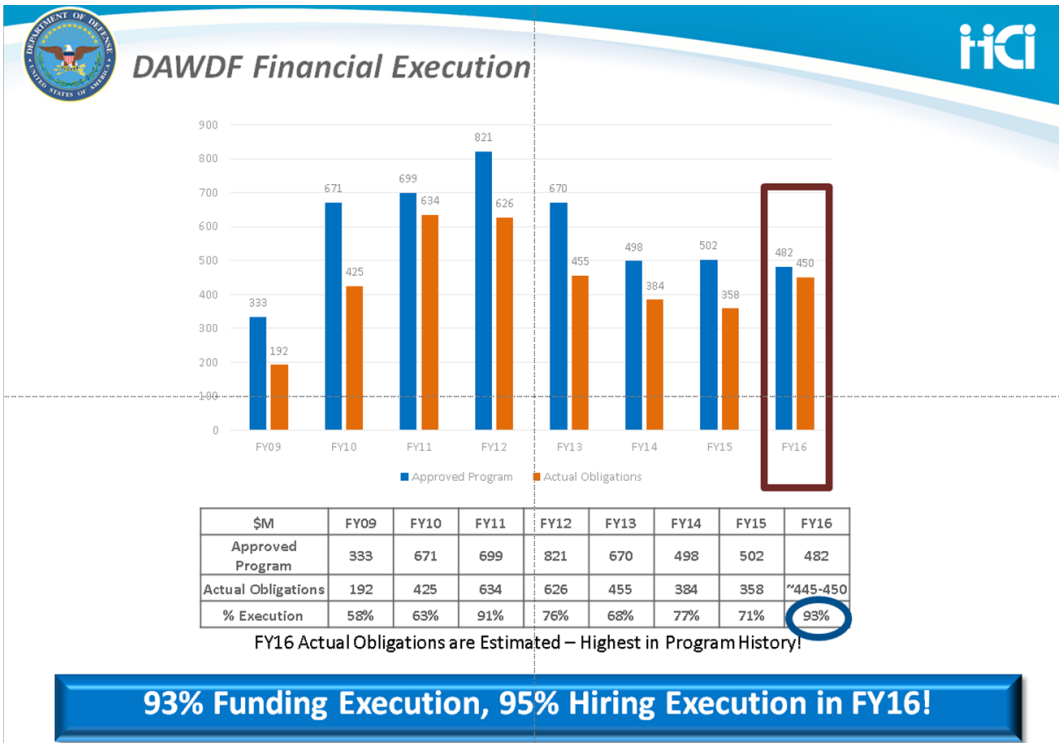
Figure 8. Allocation of DAWDF Funding, by Category and FY Obligated



Source: DAWDF Annual Reports to Congress for FY2008 to FY2015.

Although data on FY2016 were not complete until the end of our study (and detailed data are still being analyzed), HCI is estimating that actual obligations of DAWDF funds in FY2016 were at 93 percent of the approved program. As shown in Figure 9, this is the highest execution rate recorded, slightly above the 91 percent seen in FY2011 and well above the execution rates in FY2012 through FY2015.

Figure 9. DAWDF Financial Execution—Actual vs. Programmed



Source: DAWDF Annual Reports to Congress for FY2008 to FY2015.

As seen in Figure 8, the majority of DAWDF funds have been obligated for recruiting efforts, though the level of funding for recruiting has been decreasing since FY2011. DAWDF funds for training have remained fairly consistent, while a small percentage of funds each year was identified as being obligated for retention efforts. HCI did note that because some retention initiatives are similar to recruiting initiatives (e.g., student loan repayment or tuition assistance) some funds might have been inadvertently included in the recruiting category. The new DAWDF Desk Operating Guide, Version 1.0 [2], released in August 2016, provides specific guidance on DAWDF governance, responsibilities, and reporting requirements, and reduces the number of DAWDF Line Items (categories) from 12 to 4. HCI believes these changes, coupled with detailed examples in the guide on how funds should be documented, will provide the ability to clearly distinguish between types of efforts being supported, and increase consistency of reporting across all Components.

Because appropriated funds were required to be obligated in the year appropriated, while transferred funds were available for obligation for three years, the actual obligations of each fiscal year's funding typically occurred in the later years of availability. HCI noted that $400 million of FY2016 funding was transferred into the DAWDF by the Office of the Under Secretary of Defense(Comptroller) (OUSD(C)) in

late August 2016, which will remain available for obligation through the end of FY2018. OUSD(C) also provided a portion of the FY2014 funding in this timeframe, greatly limiting the ability of these funds to be obligated prior to their expiration on September 31, 2016. Both of these transfers of funds were later than the expectation in statute—where funds are to be remitted by the military departments and Defense agencies within three days after the end of the first quarter of each fiscal year. HCI, however, believes that the recent change that allows OUSD(C) to use expired funds, rather than assess a Component's current funding, will resolve the issues associated with these late deliveries of funds.

DAWDF Funding Carryover

One of the most important issues regarding the DAWDF is the amount of prior year funds that "carry over" into the next fiscal year. In October 2015, the start of FY2016, there was a carryover of $875 million in prior-year funds—and $823 million in prior-year funds is expected to carryover from FY2016 into FY2017. There appear to be several reasons that have resulted in this large amount of carryover:

- Delays in the collection and distribution of the DAWDF funds collected from the Services
- Optimistic estimations on the amount of funding that could be obligated and expended on certain initiatives
- Initial concerns in some Components on relying on DAWDF, given its temporary nature (this issue went away when the NDAA for FY2016 made the DAWDF permanent)
- Differing interpretations across Components and, in some cases, organizations within the Components on what DAWDF funding could be used for.

Because of the large amount of funds that have carried over each fiscal year, proposed language from two of the congressional Defense committees have proposed action to reduce surplus funding. The House version of the NDAA includes two provisions regarding these funds—section 839 would allow the SECDEF to reduce the minimum amount to be added in FY2017 to $0, and section 1002 would rescind $475 million from prior year funding. Alternatively, the Senate version of the DOD Appropriation Act would direct SECDEF to transfer $400 million in prior year funds to the general account of the Treasury. Of the three approaches identified, we believe section 839 of the House version of the NDAA for FY2017, which allows SECDEF to reduce the mandatory level of funds to be added in FY2017 from $400 million to $0, provides the least impact to AWF efforts.

2.3 Key Documents and Memorandums

DOD and the individual Services have issued additional documents that specify how the provisions of DAWIA are to be carried out within their respective Components. These documents provide Service-specific guidance on issues including designating positions as AWF, position requirements (for example, career field certification, tenure agreements, and training and continuous learning requirements), defining CAPs and KLPs, establishing career development plans, setting procedures for selection and placement of personnel in AWF positions, and putting in place AWF data management procedures and workforce metrics.

At the DOD level, significant policies include the following:

- DOD Instruction 5000.55: "Reporting Management Information on DOD Military and Civilian Acquisition Personnel and Positions" (Nov. 1991) [17].

  Establishes a management information system capable of providing standardized information on acquisition positions and on persons serving in acquisition positions; creates a DOD-wide capability for monitoring, reporting, and tracking the composition, education, experience, and training status of the acquisition workforce; establishes uniform procedures for submitting manpower, personnel, and assignment information on selected civilian and military positions and personnel, and establishes procedures for reporting functional and training-related data on selected civilian and military personnel to evaluate the mandatory training requirements and status of the acquisition workforce.

- DOD Directive 5000.52: "Defense Acquisition, Technology, and Logistics Workforce Education, Training, and Career Development Program" (Jan. 2005) [8].

  Implements Chapter 87 of Title 10, USC (DAWIA). Updates policies and responsibilities for an education, training, and career development program for the DOD Acquisition, Technology, and Logistics (AT&L) Workforce, and establishes a single Acquisition Corps throughout DOD.

- DOD Instruction 5000.66: "Operation of the Defense Acquisition, Technology, and Logistics Workforce Education, Training, and Career Development Program" (Dec. 2005) [7].

  Implements DOD Instruction 5000.52 by providing uniform guidance for managing positions and career development of the Acquisition, Technology, and Logistics (AT&L) Workforce, including designation and identification of AT&L positions, specification of position requirements; attainment and

maintenance of AT&L competencies through education, training and experience; management of the Defense Acquisition Corps; selection and placement of personnel in AT&L positions; and definition of workforce metrics.

- DOD Instruction 1100.22: "Policy and Procedures for Determining Workforce Mix" (Apr. 2010) [18].

  Establishes policy, assigns responsibilities, and prescribes procedures for determining the appropriate mix of manpower (military and DOD civilian) and private sector support; provides manpower mix criteria and guidance for risk assessments to be used to identify and justify activities that are inherently governmental (IG), commercial (exempt from private sector performance), and commercial (subject to private sector performance).

- DOD Instruction 1322.06, "Fellowships, Legislative Fellowships, Internships, Scholarships, Training-With-Industry (TWI), and Grants Provided to DOD or DOD Personnel for Education and Training" (Oct. 2016).

  Establishes policy, assigns responsibilities, and provides procedures for DOD personnel to accept fellowships, legislative fellowships, internships, scholarships, TWI, grants, or rotational assignments; exchange tours for training from federal agencies, corporations, foundations, funds, or educational institutions organized and operated primarily for scientific, literary, educational, and training purposes.

At the level of individual Services, key policy documents include

- Army Supplement to the DOD Desk Guide for AT&L Workforce Career Management (Sept. 2010) [19]

- Air Force Instruction (AFI) 63-101/20-101: "Acquisition and Sustainment Life Cycle Management: Acquisition Workforce Management and Professional Development" (Apr. 2009) [20]

- Department of the Navy (DON) DAWIA Operating Guide (June 2014) [21]

- Department of the Navy Acquisition Workforce FY 16-22 Strategic Plan (2016) [22].

Senate Armed Services Committee (SASC) Memorandum

On November 7, 2008, the SASC Chairman, Senator Carl Levin (D-MI), and Ranking Member, Senator John McCain (R-AZ), signed a memorandum [23] to Secretary of Defense Robert Gates, noting concern that although the Congress had established the DAWDF "to ensure that the DOD acquisition workforce 'has the capacity, in both

personnel and skills, needed to properly perform its mission,'" DOD briefings did not include corresponding increases in AWF levels. The memorandum notes

> We were deeply disturbed to learn this week that the Department of Defense plans to spend some $3.0 billion allocated by Congress to rebuild the acquisition workforce over the next five years without any significant increase in the size of the workforce. This would be completely inconsistent with congressional intent for the use of those funds...
>
> [W]e ask that you take the steps necessary to remove any arbitrary ceilings on the size of the DOD acquisition workforce and ensure that the funds allocated pursuant to section 852 [DAWDF] are spent, as intended, to increase the size and capability of that workforce.

This memo, reflecting strong congressional support and concern, was particularly influential in DOD's future efforts related to AWF size increases and utilization of the funds made available through the DAWDF.

Carter-Hale Memo

USD(AT&L) Ashton B. Carter and Under Secretary of Defense (Comptroller/ Chief Financial Officer (CFO)) (USD(C)) Robert F. Hale issued a joint memorandum directing the "Continuation of Defense Acquisition Workforce Improvement Initiative" on March 15, 2011 [24]. The memorandum confirmed that the Secretary of Defense's strategy to strengthen the capability and capacity of the defense acquisition workforce was to continue as a major element of defense acquisition reform.

At the time the memorandum was signed, DOD had in place a strategy to increase acquisition workforce capacity by approximately 10,000 civilian full-time equivalents (FTEs) by FY2015. The memorandum further directed that when the DAWDF hires were transitioned to FTE positions, those positions were to be supported within existing civilian ceilings, which had been adjusted accordingly. The strategy required that the Components provide funding for long-term sustainment of the insourced positions.

Additional insourcing would be considered on a case-by-case basis only, after careful consideration of critical need, whether a function was inherently governmental, and benefit (demonstrated by a cost-benefit analysis). Additional insourcing would have to be supportable within current budget levels, including the Continuing Resolution in place at the time. If added insourcing breached the existing civilian ceilings, the proposal and associated justification were required to be provided to the director of AT&L HCI prior to execution, reviewed by the USD(AT&L) and USD(Comptroller/CFO), and approved by the Deputy Secretary of Defense.

Government Performance of Critical Acquisition Functions Memo

This August 25, 2010 memorandum [25], from then Acting USD(AT&L) Frank Kendall, established DOD policy on identification of selected positions as KLPs, in accordance

with section 820 of the NDAA for FY2007, "Government performance of critical acquisition functions."

Key Leadership Positions and Qualification Criteria Memo

On November 8, 2013, USD(AT&L) Frank Kendall signed out a memorandum that superseded the August 2010 memorandum regarding KLPs [26]. This memo, in accordance with USD(AT&L)'s Better Buying Power 3.0 (BBP 3.0) initiative, established five factors as requirements essential for selection to fill a KLP: Education, Experience, Cross-functional Competencies, Tenure, and Currency. The memorandum also introduced the initiative of developing KLP Qualification Boards, with the intent of each acquisition career field prescreening AWF personnel to "qualify a pool of candidates to fill these important positions."

The Next Two Links to the "Force of the Future" Memo

Secretary of Defense Carter issued a memorandum on June 9, 2016 to all DOD senior leaders that identified the next two links in his "Force of the Future" initiative [27], "one focused on making commonsense improvements to the Defense Officer Personnel Management Act (DOPMA), and the other on developing our more than 700,000-strong DOD civilian workforce." Secretary Carter notes a number of authorities that he is asking Congress to grant that could support Defense AWF efforts, particularly with respect to civilian personnel hiring and exchange programs with industry.

Sustaining Momentum Memo

In order to reinforce the importance of AWF improvement efforts, USD(AT&L) Kendall signed a memo on June 10, 2016 entitled, "Sustaining Momentum—Continuing Efforts to Strengthen the Acquisition Workforce" [28]. This memo, which is the latest in a series of AWF-related memos, went to all Service Secretaries, the Chairman of the Joint Chiefs of Staff (CJCS), all OSD Under Secretaries, and the heads of all DOD agencies. In the memo, Kendall notes that the AWF has substantially improved the efficiency and productivity of acquisition programs, and asks that AWF leadership

- Responsibly sustain the acquisition workforce size, modulated by workload demand and requirements. Effective acquisition management provides high rates of return to the DOD.

- Ensure your personnel continue to increase their professionalism by helping them to obtain the training, education, and experience they need to be effective. Government acquisition professionals, both in and out of uniform, are generally grown from within the Department. True acquisition professionals, such as engineering, contracting, and

program management specialists, are created and developed over a period of decades.

- Continue to expand your talent management programs, which include recruitment, hiring, training, development, recognition, and retention initiatives, by using the Defense Acquisition Workforce Development Fund and other tools such as those provided by the Force of the Future initiatives.

3. Management of the Defense AWF

In order to ensure that all AWF duties required by statute and policy are accomplished, DOD has implemented a number of oversight bodies and processes. In addition, USD(AT&L) has issued memorandums to provide guidance and request continuing support on key issues related to the AWF. This section briefly covers these topics.

3.1 Defense AWF Identification and Management Structure

Human Capital Initiatives (HCI) office

Initially, the President of the Defense Acquisition University (DAU) was dual-hatted as the President of DAU and the AT&L Director of HCI. The HCI role was transitioned out of DAU into an independent office, reporting directly to USD(AT&L), in FY2012.

In a March 10, 2015 memo [29], the USD(AT&L), appointed a new HCI Director at the Senior Executive Service (SES) level. The charter for the HCI office was then signed by USD(AT&L) on November 1, 2015 [30]. The charter established the mission of the office to be execution of the DOD-wide acquisition workforce governance, strategies, policies, programs, and talent management initiatives to equip a highly qualified workforce of professionals for acquiring and delivering world-class warfighting capabilities to U.S. soldiers, sailors, airmen, and Marines.

The HCI office is responsible for assisting the USD(AT&L) in carrying out all powers, functions, and duties of the USD(AT&L) and the Secretary of Defense with respect to the defense AWF as they relate to DAWIA. The HCI office is also responsible for implementing workforce strategies, policies, and procedures that position the DOD to attract and retain the most competent professionals to guarantee that the AWF is highly skilled and trained to meet current and future needs, and that DOD acquisition professionals share a culture that is dedicated to excellence and to serving the needs of the warfighter:

Per its charter [30], the Office of HCI will serve as:

- The acquisition functional community focal point for the integration of AWF requirements and for career management, to include the execution of the DOD AWF governance structure, including serving as (a) the Chairperson for the Workforce Management Group, and (b) the Secretariat for the Senior Steering Board

- Lead for DOD-wide AWF strategic planning to promote a properly equipped and responsibly sustained AWF of the future, leveraging workforce analytics and competency assessments

- AT&L lead for Defense AWF career development policy and procedures

- AT&L lead for AWF legislative, Office of Management and Budget, media, and Departmental strategic and external communications

- Authority over uniform standards for DAWIA, competencies, credentialing, and professional currency, as well as data automation structures for acquisition data fields in the DOD Civilian Personnel Data System (DCPDS)

- AT&L lead in working with the Office of the Under Secretary of Defense for Personnel and Readiness (USD(P&R)) on workforce personnel matters.

The HCI Director is the AT&L-designated official for the following:

- Defense Acquisition Workforce Education, Training, and Career Development Program

- Acquisition Workforce Personnel Demonstration Project, in accordance with 10 U.S.C. 1762, including planning, preparation, execution, and management of DOD-wide permanency, when and if approved, prioritized and funded by the Department, the Office of Personnel Management, and Congress

- DAWDF management, in accordance with 10 U.S.C. 1705.

The mission of the HCI office is derived largely from its role to assist the USD(AT&L) in carrying out the responsibilities listed in:

- 10 U.S.C. Chapter 87 (DAWIA), which provides special authorities and responsibilities to the Secretary of Defense with respect to the Defense acquisition workforce

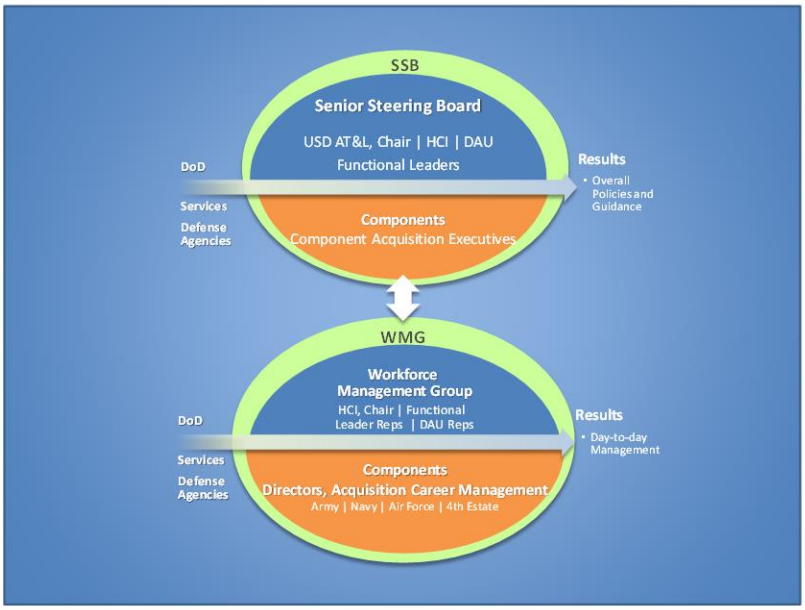
- DOD Directive 5000.52: "Defense Acquisition, Technology, and Logistics Workforce Education Training, and Career Development Program" [8], which provides policies and responsibilities for an education, training, and career development program for the DOD AT&L workforce, and establishes a single acquisition corps throughout the Department of Defense

- DOD Directive 5134.01: "Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L))" [31], Paragraph 3.13, which states that the USD(AT&L) shall establish policies and procedures, in coordination with the USD(P&R), for the effective management of the AT&L workforce in the Department of Defense

- DOD Directive 5000.66: "Operation of the Defense Acquisition Technology, and Logistics Acquisition Education, Training, and Career Development Program" [7].

DOD's AWF management framework is based on centralized DOD policy and standards, decentralized execution by the Components, and joint governance forums. The integrated governance structure is shown in Figure 10.

Figure 10. DOD AWF Management Framework



Source: DOD Acquisition Workforce Strategic Plan: FY 2016 – FY 2021 [3].

Defense Acquisition Workforce Senior Steering Board (SSB)

In accordance with DOD Directive 5000.52 [8], the SSB is chartered to oversee the execution of the Defense AT&L Workforce Education, Training, and Career Development Program. It is chaired by the USD(AT&L), and the membership includes the CAEs of the military departments; representatives of the CAEs outside the military departments; the Functional Advisors (FAs—also known as Functional Leaders (FLs)); the Director of the Defense Procurement and Acquisition Policy (ex officio, as Executive Secretary); and others as the USD(AT&L) considers appropriate. The DAU President is a nonvoting member. The SSB is required to meet at least twice each year and at the call of the Chair.

Defense Workforce Management Group (WMG)

The Defense WMG is also chartered under the authority of DOD Directive 5000.52 [8], and DOD Instruction 5000.66 [7]. According to the WMG Charter (Appendix D), dated July 29, 2011, the mission of the WMG is to administer and guide the implementation and integration of initiatives and policy by the USD(AT&L) under the DAWIA, implementing policy and programs in support of the related acquisition workforce, and initiatives to support other DOD workforce elements in their performance of duties that are closely related to acquisition processes.

The WMG provides assistance, oversight, and review of the Defense Acquisition Workforce Education, Training, and Career Development Program to ensure integration of enterprise initiatives and to advise the SSB on workforce matters. It is chaired by the HCI Director, and comprises the principal representatives of the SSB members. The WMG principals include the Functional Executive Secretaries; Component Directors, Acquisition Career Management (DACMs); the DAU President; and other U.S. government officials the Chair considers appropriate. The HCI Director, as Chair of the WMG, ensures that the WMG meets at least on a quarterly basis and collaborates with manpower, comptroller, human resources, and other Office of the Secretary of Defense (OSD) functions as appropriate on issues involving DOD personnel regulations, policy, resourcing, and management affecting civilians or military members.

As described in its charter, the duties of the WMG include efforts related to the Defense Acquisition Workforce Education, Training and Career Development Program and all major AWF initiatives (e.g., initiatives funded by the DAWDF and the DOD Civilian Acquisition Workforce Personnel Demonstration Project (AcqDemo)). One of the key responsibilities is for the WMG to assist the HCI Director, FLs, DACMs, and DAU in formulating enterprise-wide, uniform policies and standards for the Acquisition Program, and assisting the FLs in formulating policy and standards. The

WMG also provides recommendations to the SSB on AWF policies and issues requiring consideration and resolution.

Directors of Acquisition Career Management (DACMs)

DOD has established four DACMs to serve as the principal advisors to the CAEs on all matters pertaining to education, training, experience, and career development of the AWF. Three of the DACMs work directly for the Service Acquisition Executives (SAEs—where the Department of Navy DACM is responsible for both the U.S. Navy and Marine Corps); the fourth is the Fourth Estate DACM, which is responsible for all of the remaining DOD Components. DACM responsibilities are as follows:

- Provide Component policy guidance on matters associated with the AWF Program
- Serve as a single point of contact for HCI and career field FLs for the implementation, execution, and oversight of the AWF Program
- In coordination with FLs, implement acquisition management stewardship processes; establish and participate in Component and DOD forums (e.g., FIPTs, boards and working groups); and designate senior level representatives to advise on matters that affect the education, training, career development, and overall management of the AWF
- Manage the Component's DAWDF
- Oversee the designation of AWF Positions, including KLPs and CAPs and associated waivers
- Establish a methodology to adjudicate experience applicable toward acquisition-related competencies that a workforce member or potential member claims outside of a coded Acquisition Position
- Execute fulfillment program requirements
- Collaborate with OSD and other Components to implement statutory requirements, serve in an advisory role at senior acquisition assignment slating panels, and advise the CAE on the acquisition credentials of individuals being considered for Acquisition Categories (ACAT) I/II Program Manager (PM) and other senior acquisition assignments

- Manage acquisition career development programs and opportunities (e.g., DAU training registration and travel management, certification, continuous learning, acquisition workforce tuition assistance, and centralized acquisition developmental programs)

- Oversee the development and maintenance of Component acquisition data systems to support workforce management, performance measures, and reporting requirements.

Functional Advisors (also known as Functional Leaders)

To ensure consistency and adequacy across the DOD, each DAWIA career field has a Functional Advisor (FA), appointed by the USD(AT&L). These positions are now commonly referred to as FLs—which we will use throughout the remainder of this report—and their responsibilities are identified in DOD Instruction 5000.66:

> 5.5. The Functional Advisors shall:
>
> 5.5.1. Serve as the subject matter expert for their respective functional areas.
>
> 5.5.2. Provide functional advice and recommendations to support implementation of the AT&L Workforce Education, Training, and Career Development Program.
>
> 5.5.3. Establish, oversee, and maintain the education, training, and experience requirements, including competencies and certification standards; position category description(s); and content of the DAU courses as current, technically accurate, and consistent with DOD acquisition policies.
>
> 5.5.4. Meet in working and/or advisory groups as required to execute responsibilities in support of role as subject matter expert for their respective functional area.

Each FL chairs a Functional Integrated Product Team (FIPT) for their specific career field, which brings together career field leads from across the Services and other Components. These FIPTs are used to coordinate potential certification or training requirements, assess trends across the career field, and support the FL in the performance of their assigned responsibilities.

3.2 DOD Initiatives Regarding the AWF

> *I have emphasized PEOPLE as our most important asset and have maintained a "high performing, agile, and ethical workforce" as my number-one priority. Maintaining the right mix of technical know-how and subject matter expertise is vital in achieving our acquisition mission and our nation's security.*
>
> **USD(AT&L) Ken Krieg**
> **AT&L Human Capital Strategic Plan v 3.0, 2007**

The Defense AWF has been a stated priority of succeeding USD(AT&L)s, and they have championed a series of efforts to improve the recruiting, development, and retention of AWF personnel while strengthening the Department's ability to track and manage this workforce. Many of these initiatives will be mentioned in this report, but among them are the establishment of the AT&L Data Mart to provide a system to track and analyze the composition and trends of the AWF; the establishment of the HCI office; and the series of Better Buying Power (BBP) Initiatives, originally implemented by then-USD(AT&L) Ashton Carter and further enhanced by current USD(AT&L) Frank Kendall.

This advocacy of the AWF, along with strong support from the CAEs, has been instrumental in both the efforts to grow and train the AWF since 2008, and in the sustainment of this workforce in light of recent force structure reductions—in both military and civilian personnel.

Better Buying Power (BBP) Initiatives

BBP refers to a set of initiatives designed to improve acquisition outcomes, increase the professionalism of the AWF, and ensure that products of acquisition processes enable maintenance of military technological superiority.

BBP has been implemented in three increments, or "releases," with newer increments encompassing and replacing previous increments. The core initiatives of BBP 1.0—implementing affordability caps, should-cost targets, and effective contractual incentives—are designed to better control costs on acquisition programs. In BBP 2.0, a new objective, *Improve the Professionalism of the Total Acquisition Workforce*, was added to emphasize continuous improvement of the total AWF. Specifically, BBP 2.0 sought to establish stronger qualification requirements for acquisition jobs, and especially higher standards for KLPs. Other objectives included increasing the recognition of excellence in acquisition management, improving the ability of acquisition leadership to assess and mitigate technical risk in acquisition programs,

and increasing DOD support for Science, Technology, Engineering, and Mathematics (STEM) education and training.

In BBP 3.0, released in April 2015, USD(AT&L) has placed a new emphasis on the products of acquisition processes and their ability to provide military technological superiority, while retaining the core BBP 1.0 and 2.0 initiatives (FY2016—FY2021 DOD Acquisition Workforce Strategic Plan; 2016 Implementation Directive for BBP 3.0, 2015). BBP 3.0 has eight core initiatives, one of which remains *Improve the Professionalism of the Total Acquisition Workforce*. This initiative includes six sub-elements:

Improve the Professionalism of the Total Acquisition Workforce

- Establish higher standards for key leadership positions
- Establish stronger professional qualification requirements for all acquisition specialties
- Strengthen organic engineering capabilities
- Ensure development program leadership is technically qualified to manage R&D activities
- Improve our leaders' ability to understand and mitigate technical risk
- Increase DOD support for STEM education.

The BBP 3.0 memo provides detailed direction for each initiative and sub-element, to include General Guidance and Specific Actions (and its reporting requirements). We will discuss the individual AWF sub-elements in more detail, where applicable, in later chapters regarding recruiting, development, and retention.

Business Senior Integration Group (BSIG)

To ensure visibility and oversight of the BBP initiatives and sub-elements, USD(AT&L) has established a body known as the Business Senior Integration Group (BSIG). This group is made up of the USD(AT&L) and his most senior staff members, the SAEs, and several of the senior FLs within USD(AT&L) such as Assistant Secretary of Defense for Systems Engineering (ASD(SE)), and the Director of Defense Procurement Acquisition Policy (DPAP). This group meets every three weeks and is provided a status of all BBP 3.0 implementation plans that are being executed by USD(AT&L) staff or the Components.

Acquisition/Human Resources Summits

In 2015, the Director of HCI worked with the Deputy Assistant Secretary of Defense for Civilian Personnel Policy (DASD(CPP)) to establish forums for increasing understanding and standardizing interpretations to improve the use of workforce authorities (e.g., hiring authorities and incentives) across DOD. The first of these

forums, known as Acquisition/Human Resources Summits, was held on July 31, 2015, with the second session held on May 13, 2016. The first summit had 72 participants from across the acquisition and HR communities, and developed 22 action items—covering topics from standardizing and shortening the time for hiring actions to implementing Best Practices for internship hiring and implementing mandatory college degree requirements, where appropriate. Updates on these action items, changes to HR statutes and policies, and identification of additional areas of interest were discussed at the May 2016 summit.

Some of the most significant efforts being addressed through these summits are as follows:

- Development and fielding, by OUSD(P&R), of a Civilian Hiring Manager's Toolkit, that includes standardized guidance and products, and includes more detailed information regarding acquisition unique aspects related to hiring.
- Lessons learned regarding successful techniques in recruiting, developing, and retaining AWF civilians.
    - As an example, the Army is working to implement a centralized office for hiring of AWF personnel at Aberdeen Proving Grounds (Maryland), based on the success of this type of approach for the U.S. Navy and the Air Force.
- Improving the clarity and standardization of implementation guidance regarding EHA, recruiting and retention incentives (e.g., student loan repayment, tuition assistance, bonuses, etc.), and special authorities (e.g., Highly Qualified Experts (HQEs), industry exchange programs, etc.).
- Addressing how best to access new hire personnel, balancing the intent to fully support Veteran's Preference, while ensuring that new hires are the best qualified for the AWF positions to be filled.
- Understanding key new HR regulatory and policy changes, such as the "New Beginnings" personnel system and SECDEF's "Force of the Future" initiative.

Observation 5: *The joint DASD(CPP)/HCI Director–chaired Acquisition/Human Resources Summits provide a tremendously valuable forum for the identification of issues and differences, and promote a positive, joint approach to resolving issues.*

Recommendation 5: *While continuing to perform these Acquisition/HR Summits, DOD should consider how best to integrate the Comptroller into this type of forum to ensure alignment of AWF efforts in the programming and budgeting processes.*

Observation 6: *Overarching USD(AT&L) and USD(P&R) guidance is sometimes implemented in different ways by the individual DOD Components. The variance is due to several factors, to include individual Component General Counsel (GC) interpretation.*

Recommendation 6 *To the level practicable/appropriate, USD(AT&L) and USD(P&R) guidance should be provided at a more specific level, to ensure more standardized implementation across Components. Significant differences in implementation among Components could be appropriate, but HCI should monitor and provide recommendations to USD(AT&L) if it believes additional uniformity should be pursued.*

Biennial Strategic Workforce Plan

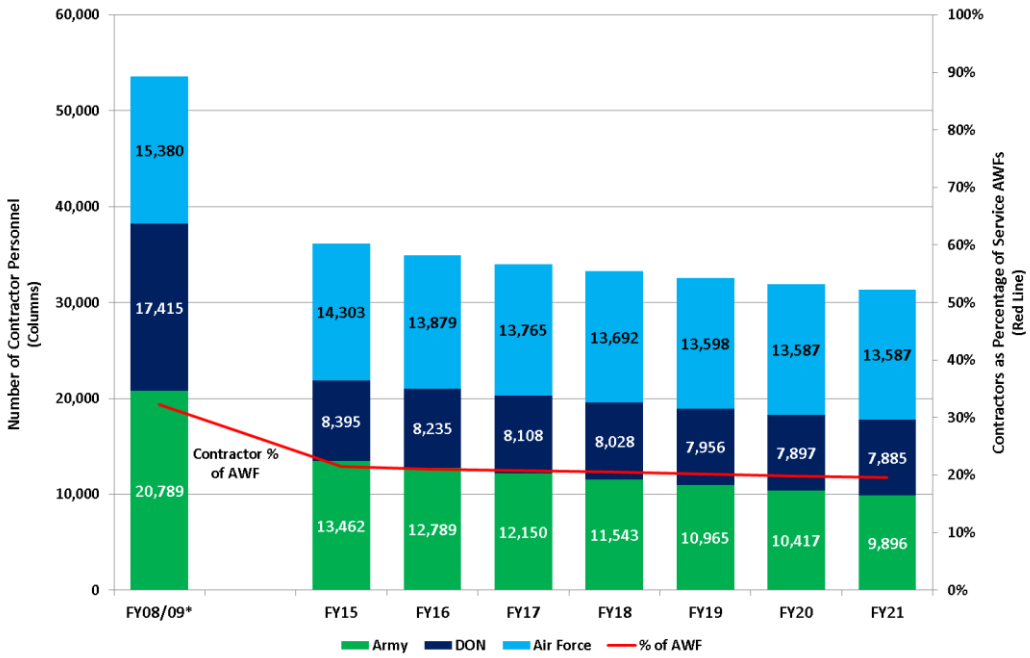
Title 10 USC, section 115b, "Biennial strategic workforce plan," requires the Secretary of Defense to submit a strategic workforce plan (SWP) to shape and improve the DOD civilian workforce, and section 115b(d), "Defense Acquisition Workforce," provides specific guidance related to the AWF data that must be included in the SWP, which typically has been submitted as a separate appendix. This section also requires DOD to specifically address the shaping and improvement of the military, civilian, and contractor personnel who directly support the acquisition processes of DOD.

DOD has excellent insight into the military and civilian personnel in its AWF. That is less true, however, of its contractor support personnel, because many DOD support contracts are awarded as performance-based contracts or outcome-based contracts. For these types of contracts, by design there is no requirement on the contractor to declare the number of personnel assigned to achieve the required performance or outcome. Services contracts in the global marketplace are similar. In addition, the number of services contracts, task orders, and transactions are in the millions per year, with varying periods of performance. Thus DOD has very little ability to precisely "count" contractor support personnel associated with these contracts without incurring a large expense (e.g., for increased tracking or contract modifications). DOD did note that, in accordance with Title 10 USC, section 129a, USD(P&R) is responsible for developing and implementing DOD total force mix policies and guidance, and that a useable capability for determining and projecting this force mix is not expected to be available until the 2018 timeframe.

In the interim, attempts to count services contractor personnel have thus largely adopted an estimating method based upon dividing the total value of related services contracts by the average estimated cost for a full-time equivalent (FTE) contractor. DOD is hesitant in providing these types of estimates in its civilian workforce strategic plan due to concerns with the inherent limitations of this estimating method, but values for the military Services are reported to the USD(AT&L) as part of

the SSB process. Figure 11 reflects the contractor workforce values reported at the April 20, 2016 SSB, both as a number and as a percentage of the total Service AWF.

Figure 11. Contractor Workforce, by Numbers and Percentages of Service AWF



Source: April 2016 AWF Strategic Steering Board slides.

Observation 7 *Support contractor levels for the AWF are not currently included in standard tracking and planning metrics.*

Recommendation 7: *Components should report support contractor levels in direct support of AWF in standard annual reporting and, in conjunction with the PB23 budget exhibit development, identify total estimated contractor staffing along with military and government civilian AWF levels.*

USD(AT&L) did approve a new biennial strategic workforce plan, "Department of Defense Acquisition Workforce Strategic Plan, FY 2016–FY 2021" [3], in mid-November 2016, but its timing did not allow for a thorough review in this report.

4. Strategic Workforce Planning

The U.S. Office of Personnel Management (OPM) notes, "A central pillar in the strategic management of human capital is the alignment of human capital strategies with agency mission, goals, and objectives through analysis, planning, investment, and management of human capital programs" [32]." Once a strategic direction for the organization has been defined, the next step in the process is workforce analysis, which involves three basic steps:

1. **Demand forecasting** to estimate the size and skills and abilities needed in the future workforce;

2. **Supply forecasting**, projecting staffing levels and competency profiles based on current hiring, retention, and attrition trends; and

3. **Gap analysis**, identifying gaps between projected workforce supply and demand in either or both the number of workers or their competencies.

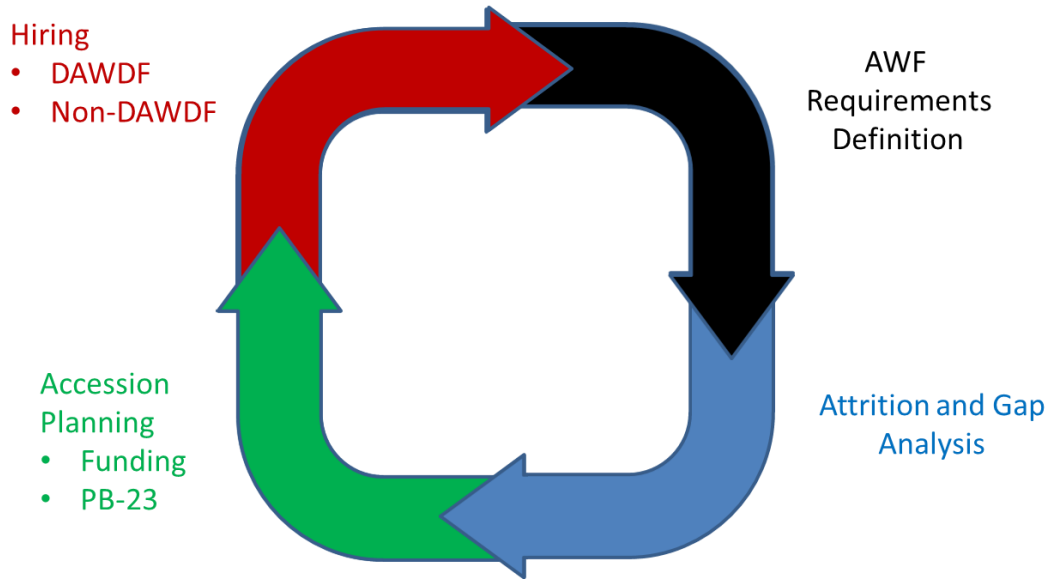
In this chapter, we will review how forecasts for AWF staffing and training have compared with actual levels, to include an assessment of Defense AWF gains and losses for the eight major Components and by career field. We will also note where several of the external and internal factors from the previous chapter align with AWF staffing trends.

In order to ensure that the Defense AWF is properly staffed—in terms of experience, qualifications, and quantity—DOD's strategic workforce planning construct must be a continuous process of requirements development, gap analysis, programming of required Defense AWF funding, and execution of the programmed plan. Figure 12 depicts the continuous nature of the steps below:

- Identify requirement by career field, certification, and whether military, civilian, or contractor
- Baseline against current workforce composition
- Calculate expected losses by career field, fiscal year, and certification required
- Identify gaps, both in numbers and in skills/capabilities
  - Determine Critical Career Fields, by Component
- Calculate required gains, by career field and fiscal year
- Determine funding sources required for AWF, by funding type:

  - Civilian Personnel (CivPers)—within Operations and Maintenance (O&M) accounts
  - Military Personnel (MilPers)
  - Research, Development, Test, and Evaluation (RDT&E)
  - Working Capital Fund (WCF)
  - DAWDF
- Identify training and development funding required, by source (appropriation or DAWDF) and by fiscal year
- Coordinate funding in Program Objective Memorandum (POM) process
  - Document POM-approved (programmed) Defense AWF personnel levels in the PB23 budget exhibit
- Execute funded hiring and training requirements.

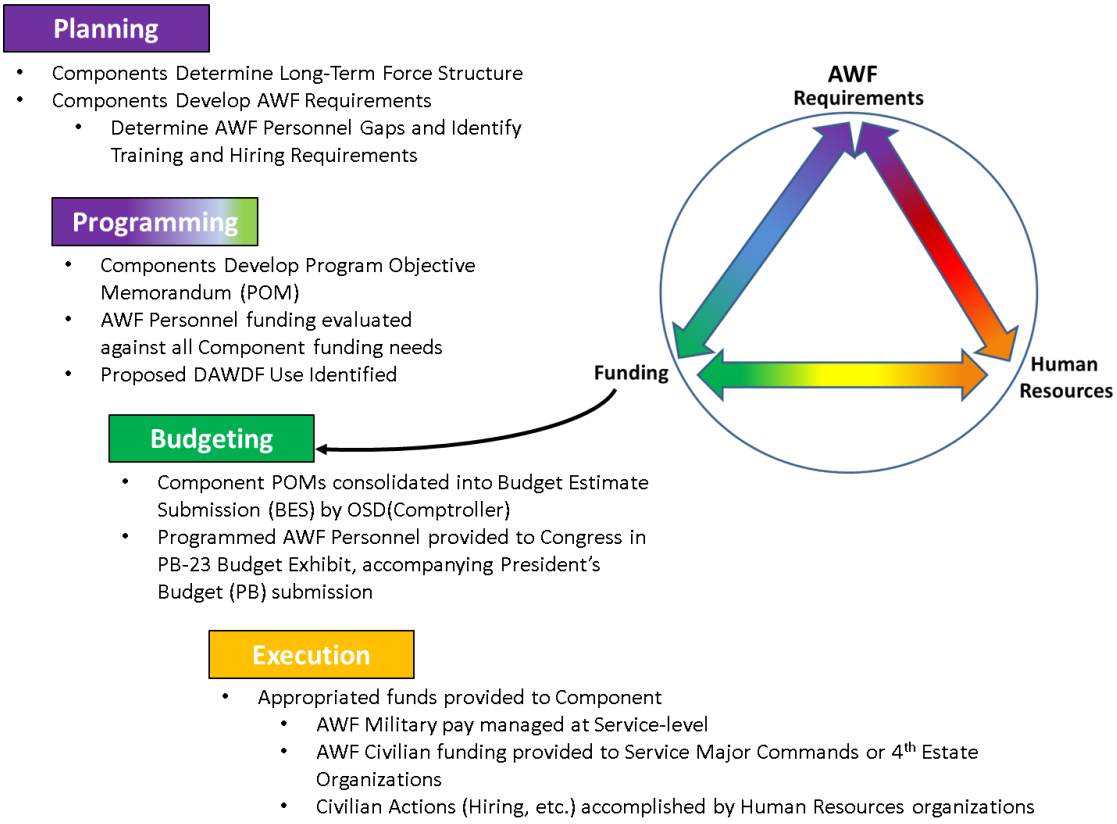
Figure 12. Strategic Workforce Planning Cycle Process



4.1 DOD Internal Factors affecting AWF

In this section, we will identify factors internal to DOD that can have a direct impact on the success of Defense AWF strategic planning and the implementation of these plans. These areas are all within the SECDEF's authority, but most do not fall within the USD(AT&L)'s or CAE's scope of authority. In order for the Defense AWF strategic plan to be successfully executed, all of these factors must be synchronized. Figure 13 shows how AWF requirements determination, human resources (HR), and funding interact to provide the AWF—and their relation to the DOD Planning, Programming, Budgeting and Execution (PPBE) process.

Figure 13. The AWF in the PPBE Process



AWF Requirements Determination

Each Component determines its current and projected AWF requirements, based on USD(AT&L) overarching policy and guidance and the Component's own processes and models. One of the key aspects with respect to total AWF size is that program management office (PMO) staffing requirements vary among PMOs. This variation is due to a number of factors, to include the number of programs the PMO manages, the ACAT of the program(s); the technical complexity of the program(s); and the phase of the program (e.g., development prior to critical design review (CDR), development post-CDR, Operational Testing (OT), etc.). As a result, PMO size and required skills change over the course of the program's execution.

In the Army and Air Force, the majority of staffing requirements are determined and funded, respectively, by the Army Materiel Command and the Air Force Materiel Command. The Army is currently developing and fielding a series of Predictive Resource Staffing Models (PRSMs) to determine requirements for each career field, and the Air Force SAE and AFMC have worked with the Air Force Personnel Center

(AFPC) to develop staffing models to determine Air Force AWF requirements. Within the DON, each Systems Command (SYSCOM) determines its AWF requirements using models and processes tailored to its SYSCOM. AWF staffing requirements are developed internally by each of the Fourth Estate Components and coordinated through the Fourth Estate DACM.

Observation 8: *There is currently no overarching guidance for the Department on what factors should be considered in determining AWF requirements (the "demand signal").*

Recommendation 8: *HCI should work with the Components and DACMs to develop guidance/policy for all Components regarding modeling for their AWF requirements. HCI should stop far short of declaring how to model, or what type of model to use, but it should publish guidance on what a demand model should consider.*

Gap analysis

Once the total number of AWF personnel is determined, each Component calculates expected losses and determines what actions will be required to access and/or train existing AWF members to fulfill the out-year position requirements—in terms of both numbers and skills. These hiring and training requirements are then incorporated in the development of each Component's POM, where funding is balanced across all aspects of the Component's budget—though each Component will plan for some portion of civilian pay for new hires and for many AWF training costs to be funded by the DAWDF, which is not part of the POM process.

Funding of the AWF

Although acquisition responsibility, authority, and accountability (RAA) flows directly from the CAE to the PEOs and then the PMs, the resourcing of AWF personnel levels and training is accomplished through the Materiel/Systems commands and the Defense agency personnel processes. The majority of civilian personnel in DOD, to include AWF civilians, are funded with Operations and Maintenance (O&M) funding, so increases in Service operations costs can create pressure on AWF funding, as can efforts to reduce the total number of DOD civilians. These pressures are reflected in the decrease of total Army AWF personnel from 40,269 in FY2008 to 36,633 in FY2015, although AWF staffing levels in each of the other three Services and across the Fourth Estate increased. Military AWF personnel are funded through the Service military personnel line, which is funded to the end strength authorized by Congress, so approved military positions are not affected in the same way as civilian AWF positions.

Although the majority of AWF personnel are funded with O&M, some organizations (particularly in the U.S. Navy) fund AWF personnel through working capital funds (WCFs), where personnel costs are billed directly to the program they support. WCF personnel have historically been less affected by changes to the DOD top-line budget or reductions in civilian personnel.

Per the Federal Acquisition Regulation (FAR), DOD prepares PB23 budget exhibit each fiscal year, that documents the coordinated and funded AWF personnel levels for each Component. We will use these series of fiscal year budget exhibits to evaluate strategic planning efforts in the following sections of this chapter.

The PB23 indicates, by career field, the planned and budgeted government employee (civilian and military) AWF size. The PB23 links the DOD strategic workforce plan and the programming and budgeting system. The AT&L SWP provides a framework for integrating workforce shaping and upgrading initiatives into an actionable plan that is meant to guide decision making by personnel executives [1]. Table 7 shows PB23 projections for the AWF from FY2014 through FY2020. The PB23 projected values differ from the FY15Q4 actuals, as they are provided early in the fiscal year.

Table 7. January 2015 PB23 Submission for DOD Total

PB23 Jan 2015 Submission	**Defense Acquisition Workforce Projection by Career Category (Civilian + Military)**								
Career Field	FY14	FY15	FY16	FY17	FY18	FY19	FY20	Delta FY15-20	% Delta FY15-20
Auditing	4,147	4,053	4,131	4,118	4,057	4,087	4,064	11	0%
BCFM	7,509	7,511	7,492	7,431	7,363	7,321	7,321	-190	-3%
Contracting	29,472	29,470	30,065	30,106	30,068	30,038	30,024	554	2%
Engineering	40,173	40,408	40,417	40,298	40,143	40,072	40,081	-327	-1%
Facilities Engineering	6,634	6,978	6,986	6,983	6,978	6,976	6,974	-4	0%
Industrial/Contract Property Mgt	350	409	411	409	410	410	410	1	0%
Information Technology	5,803	5,872	5,908	5,896	5,875	5,873	5,876	4	0%
Life Cycle Logistics	17,657	17,744	17,642	17,597	17,544	17,514	17,511	-233	-1%
Other	55	58	68	88	92	92	92	34	59%
PQM	9,012	9,013	9,234	9,348	9,328	9,314	9,371	358	4%
Program Management	16,127	16,631	16,735	16,592	16,444	16,313	16,312	-319	-2%
Purchasing	1,351	1,474	1,469	1,465	1,461	1,457	1,454	-20	-1%
S&T Manager	2,959	3,119	3,113	3,110	3,109	3,108	3,108	-11	0%
Test and Evaluation	8,666	8,761	8,727	8,705	8,675	8,670	8,673	-88	-1%
Grand Total	149,915	151,501	152,398	152,146	151,547	151,245	151,271	-230	0%

Source: Human Capital Initiatives Office, PB23 Exhibits Spreadsheet.

Human Resources

As with funding, the military portion of the AWF is handled in a more centralized fashion, with Service personnel centers coordinating assignment of military members to AWF billets based on position authorizations. Alternatively, civilian personnel actions are often managed and executed at the specific unit locations, and are all

done under the auspices of the USD(P&R). Differences in how each Component's HR staff executes the hiring and personnel actions can directly affect the AWF. As discussed previously, the establishment of Acquisition/HR Summits is intended to identify issues related to these processes and implement corrective actions, as well as increase visibility and common implementation of successful processes and rules.

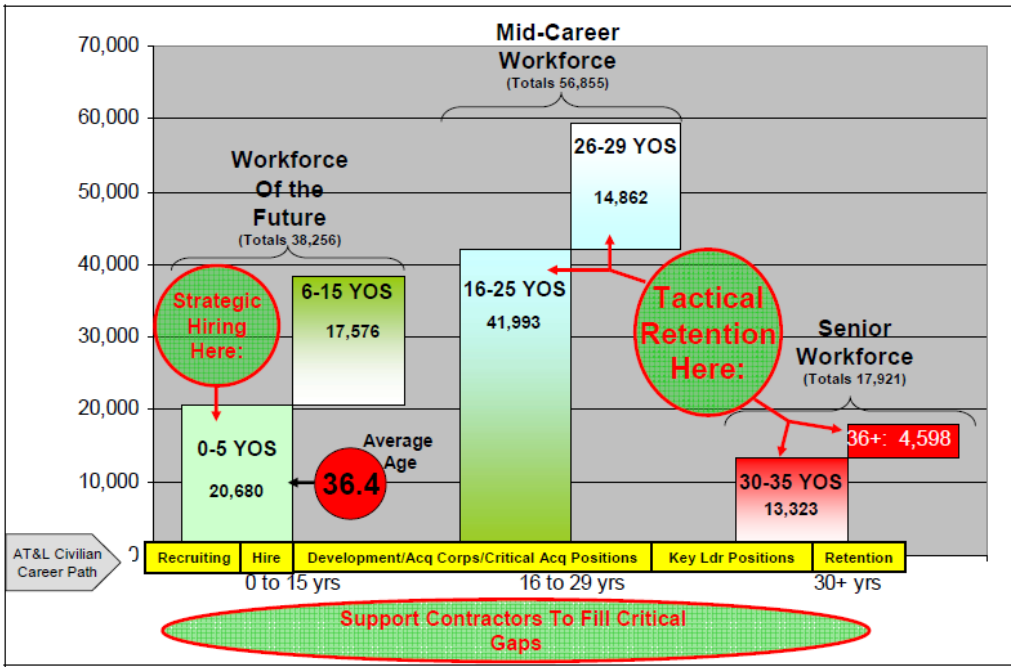
4.2 Acquisition Workforce Lifecycle Model

The AT&L Workforce Life Cycle Model is a high-level workforce planning tool that captures experience and years of service, hiring, bench strength, and retirement trends. The model organizes the AWF into three categories, or "life-cycle groups," based on years of service: "future," "mid-career," and "senior." Definitions for each of these categories have evolved over time, moving from being based on years of service (YOS) to years to retirement eligibility (YRE). The change to YRE provides more insight into how the workforce is distributed in terms of potential loss (retirement), which becomes more of a factor when AWF members join in the middle of or later in their career—as is often the case with veteran employees. Figure 14, from the 2007 Defense Acquisition Structures and Capabilities Review, reflects a hypothetical distribution that emphasizes a majority of personnel in the mid-career group, and shows how each lifecycle group is subdivided into target cohort categories for specific personnel policies and initiatives:

- **Future Life Cycle Group** (was 0–15 YOS—now over 20 YRE)
    - Primary policy focuses are strategic hiring in the 0-to-5-year cohort group and training and development to achieve DAWIA certification and ensure proper experience for current and future assignments.
- **Mid-Career Life Cycle Group** (was 16–29 YOS—now 11–20 YRE)
    - Policy focuses for this group are career broadening, depth of knowledge for their career field, quality of experience, and leadership.
    - Development and training focus both on attaining higher DAWIA certifications and with ensuring the attainment of qualifications for individuals to be selected for CAPs and KLPs.
    - This group is expected to represent the largest portion of what is referred to by AT&L as "bench strength"—individuals who have DAWIA certifications higher than required for the AWF position they occupy, positioning them to replace more senior AWF members as they leave the force.

- **Senior Life Cycle Group** (was over 30 YOS—now within 10 YRE)
    - Policy initiatives targeted to this group of workers nearing the end of their careers often involve tactical retention initiatives, especially for those in KLPs.

Figure 14. AT&L Workforce Life Cycle Model



Source: Defense Acquisition Structures and Capabilities Review, 2007, Figure 3-9.

Observation 9: *DAWDF is an essential component of DOD's AWF life-cycle efforts, supporting accessions, training, career broadening, and retention efforts. These funds have been most helpful to date with respect to bringing on new hires, developing and updating of DAU courses, and increasing training opportunities.*

4.3 Analysis of projections versus Actual AWF

The April 2010 AWF Appendix to the DOD SHCPU [1] laid out specific goals for the Defense AWF for the period from FY2010 to FY2015. The plan identified efforts to increase the size and quality of the Defense AWF to meet these goals and to address increased workload demand and complexity. To accomplish these goals, the plan called for increasing the size of the AWF by some 20,000—9,887 through new hires and 10,000 through insourcing. The plan also identified projected gains and losses

for a number of career fields, which provides the ability to compare strategic planning estimates in FY2009 with actual values.

We will first look at how projections aligned with actuals, by career field, for DOD overall, and will then take a more detailed look at individual Components—particularly from the perspective of gains and losses. We use data from the PB23 Exhibits, the AT&L Data Mart, and the April 2010 AWF Appendix of the DOD SHCPU.

Table 8 shows the data submitted in the PB23 Exhibit in September 2009, at the aggregated DOD total level, with columns added to provide the projected deltas from FY2009 to FY2015. These data vary slightly from the numbers presented later in the April 2010 AWF Appendix—a growth of 22,000 versus 19,887—but the PB23 entries allow detailed comparisons across all career fields and Components.

Table 8. September 2009 PB23 Submission, for DOD Total, with Forecast Deltas

PB23 Sept 2009 Submission	Defense Acquisition Workforce Projection by Career Category (Civilian + Military)								
Career Field	FY09	FY10	FY11	FY12	FY13	FY14	FY15	Delta FY09-15	% Delta FY09-15
Auditing	3,423	3,502	3,617	3,758	3,768	3,775	3,777	354	10%
Business, Cost Estimating, Financial Management	7,608	8,103	8,508	8,766	9,015	9,193	9,288	1,680	22%
Contracting	26,738	28,648	29,302	29,866	30,523	31,016	31,146	4,408	16%
Facilities Engineering	5,431	5,612	5,626	5,644	5,692	5,737	5,776	345	6%
Industrial and Contract Property Management	468	451	466	481	486	492	497	29	6%
Information Technology	4,247	4,383	4,420	4,488	4,571	4,646	4,711	464	11%
Life Cycle Logistics	14,130	14,729	15,062	15,332	15,557	15,756	15,970	1,840	13%
Other	518	1,428	2,193	2,932	3,642	4,037	3,996	3,478	671%
Production, Quality & Manufacturing	8,918	8,764	8,842	8,949	9,045	9,160	9,318	400	4%
Program Management	13,070	13,985	15,094	15,473	15,967	16,259	16,468	3,398	26%
Purchasing	1,122	1,067	1,069	1,073	1,075	1,079	1,082	-40	-4%
SPRDE - S&T Manager	192	204	216	227	236	246	250	58	30%
SPRDE - Systems Engineering	36,398	37,719	38,772	39,765	40,565	41,065	41,674	5,276	14%
Test and Evaluation	7,661	7,688	7,770	7,813	7,862	7,920	7,971	310	4%
Grand Total	129,924	136,283	140,957	144,567	148,004	150,381	151,924	22,000	17%

Source: Human Capital Initiatives Office, PB23 Exhibits Spreadsheet.

Career field names reflect the names used at that time. Values for the category "Other" were driven by high values from the Air Force (which were changed to zero for this category in the January 2012 PB23), so we will not review the "Other" category.

The largest programmed increases in numbers were for Systems Planning, Research, Development, and Engineering—Systems Engineering (SPRDE—Systems Engineering, which changed in 2013 to simply "Engineering") with a projected growth of 5,276 (14 percent); Contracting, 4,408 (16 percent); and Program Management, 3,398 (26 percent). The SPRDE—S&T Manager field had the highest projected percentage growth (30 percent), but this represented a total growth of only 58 personnel.

AWF Actuals versus Projections

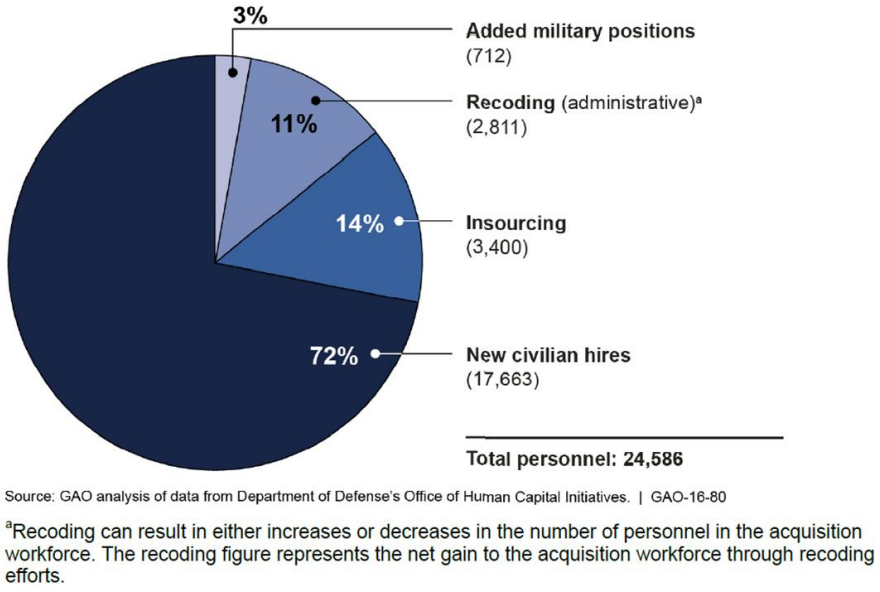
In this section, we will review how actual AWF staffing levels in 2015 compare to projections made in the September 2009 PB23 Exhibit and the April 2010 AWF Appendix of the DOD SHCPU. We will begin with a summary of the Government Accountability Office (GAO) report from December 2010, and then provide some additional context and data analytics to glean additional insights into these data, based on Components and career field trends. Data for all of these analyses are resident in the existing AWF databases overseen by HCI.

GAO Assessment of AWF Growth

In December 2015, the GAO issued a report, *Defense Acquisition Workforce: Actions Needed to Guide Planning Efforts and Improve Workforce Capability*, that compared actual AWF size and composition at the end of FY2014, to the goals identified in the April 2010 AWF Appendix of the DOD SHCPU for FY2010 to FY2015. The GAO noted that AWF growth of 24,586, from FY2008 to FY2014, exceeded the goal of 19,887, but that six career fields—three of which were identified as "AT&L high priority" in the Appendix—failed to meet their specific goals. They also noted that the remaining career fields had higher than expected growth—with the Life Cycle Logistics career field growing 3,407 more than its original 2010 goal.

In evaluating the sources of the AWF growth, GAO found four general categories: (1) added military positions, (2) recoding, (3) insourcing, and (4) new civilian hires. The distribution of these sources of growth are shown in Figure 15 (from the GAO report).

Figure 15. Sources of Defense AWF Growth, September 2008 to September 2014, from GAO Report



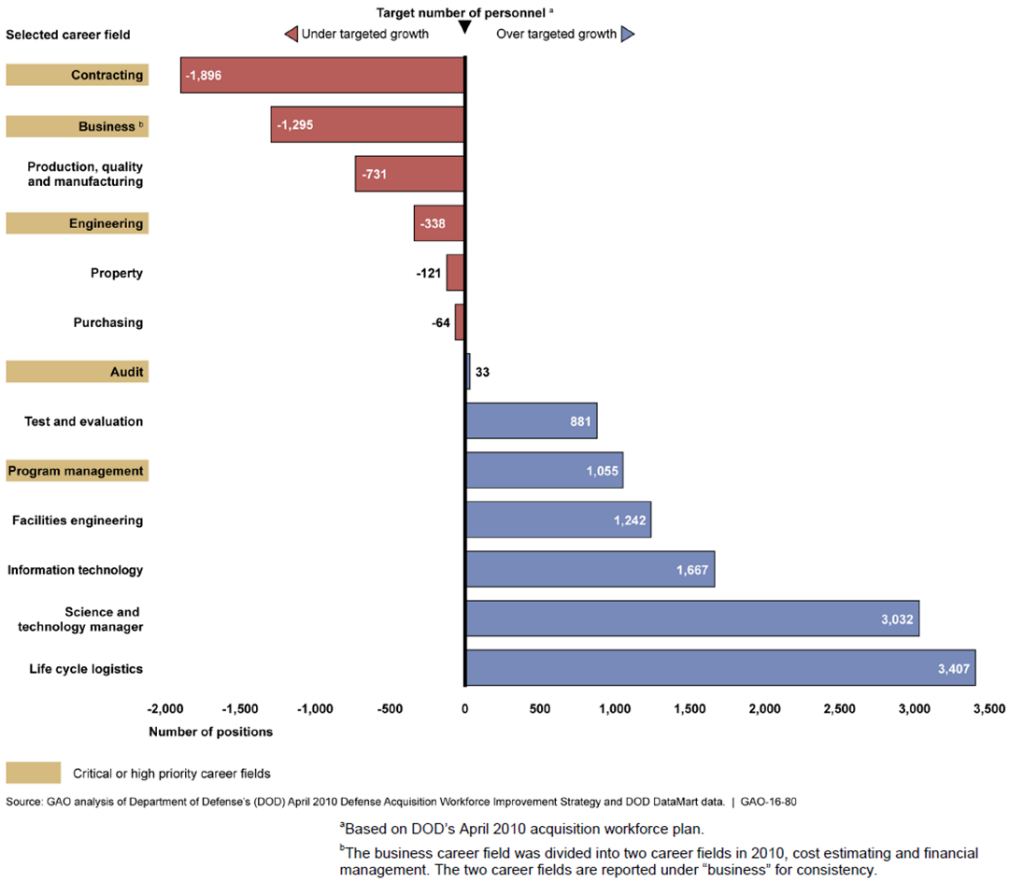
Source: GAO analysis of data from Department of Defense's Office of Human Capital Initiatives. | GAO-16-80

[a]Recoding can result in either increases or decreases in the number of personnel in the acquisition workforce. The recoding figure represents the net gain to the acquisition workforce through recoding efforts.

Source: GAO, *Defense Acquisition Workforce: Actions Needed to Guide Planning Efforts and Improve Workforce Capability,* Figure 2.

With respect to insourcing, the GAO notes that although the original goal was to insource 10,000 AWF personnel, the Components insourced only about 3,400 positions prior to a March 2011 revision to DOD's insourcing policy, documented in a memo from USD(AT&L) and the USD(Comptroller) that effectively curtailed insourcing. The report also provides the graphic reproduced in Figure 16 to reflect how actual AWF career field growth compared with the April 2010 goals. We provide these two graphics as a baseline for discussion in the next section.

Figure 16. Difference between Planned and Actual Career Field Growth, from GAO Report



Source: GAO, *Defense Acquisition Workforce: Actions Needed to Guide Planning Efforts and Improve Workforce Capability*, Figure 4.

In Table 9, we take the data from the GAO report and break it out to show planned versus actual growth based on the type of growth. The first type, *additive,* indicates the addition of AWF personnel into either existing or new positions. The second, *conversion growth,* represents insourcing, where it is expected that duties performed by nongovernmental personnel (usually contractors) will be converted to government civilian AWF positions. These conversions change who accomplishes these duties, but it is typically envisioned to be a one-for-one transfer from contractor to government employee. The final type of growth is *recode,* where neither the personnel nor the position change, but the position is now designated, or no longer designated, as an AWF position. Recodes effectively have no impact on the number of personnel

performing acquisition duties, but they do implement the mandatory training, qualification, and certification requirements of the AWF.

We also note that you would expect the level of contractors supporting acquisition to be reduced based on insourcing and, as noted in the GAO report, the recode actions represent the net of administrative gains and losses. We will provide additional analysis regarding these administrative actions later in this chapter.

Table 9. Planned versus Actual AWF Growth by Type

Growth Type	Category	Planned Growth April 2010	Actual Growth a/o FY14Q4
Additive	New Hires (mil & civ)	9,887	18,375
Conversion	Insourcing	10,000	3,400
Recode	Administrative	0	2,811

Source: GAO, *Defense Acquisition Workforce: Actions Needed to Guide Planning Efforts and Improve Workforce Capability*, Figure 4.

Evaluating AWF Gains and Losses through FY2015

With the GAO findings for context, we will now look at AWF growth through FY2015 in more detail with respect to actual Component and career field data. This examination will provide insight into factors that affected AWF growth, as well as how some goals may have changed over time. We will use primarily the PB23 Exhibits provided to Congress as the basis for projections in our comparison, as they give detailed historical data on Components' plans for AWF composition across all career fields. Figures differ slightly between the PB23s and the April 2010 Appendix to the SHCPU, but values are very closely aligned. As we proceed through our analysis, we will begin with top-level DOD data and then "drill down" into Component and career field data to better understand underlying trends.

Table 10 provides a comparison of the FY2008 actual AWF composition, the January 2010 PB23 Exhibit, and the April 2010 SHCPU estimates, with the actual AWF composition in the fourth quarter of FY2015 (FY15Q4). As shown, the January 2010 PB23 estimate was 7,669 personnel larger than the SHCPU estimate.

Table 10. Planned versus Actual AWF Growth

	FY08 Actual	Jan 2010 PB23 Projected for FY15	April 2010 SHCPU Projected for FY15	FY15 Actual	Delta FY08 Actual to FY15 Actual	Delta Jan 2010 PB23 to FY15 Actual	Delta April 2010 SHCPU to FY15 Actual
Auditing	3,638	3,809	4,527	4,316	678	507	(211)
BCFM	7,085	8,629	8,746	7,551	466	(1,078)	(1,195)
Contracting	25,680	31,332	31,722	30,230	4,550	(1,102)	(1,492)
Engineering	34,537	41,948	39,580	41,050	6,513	(898)	1,470
Facilities Engineering	4,920	6,594	5,375	6,986	2,066	392	1,611
Industrial/Contract Property Mgt	451	523	510	400	(51)	(123)	(110)
Information Technology	3,934	4,872	4,109	6,402	2,468	1,530	2,293
Life Cycle Logistics	13,361	16,542	14,317	19,222	5,861	2,680	4,905
Other	1,258	3,269	2,204	46	(1,212)	(3,223)	(2,158)
PQM	9,138	10,533	10,402	9,822	684	(711)	(580)
Program Management	12,781	15,878	14,948	16,585	3,804	707	1,637
Purchasing	1,196	1,061	1,269	1,330	134	269	61
S&T Manager	480	255	369	3,681	3,201	3,426	3,312
Test and Evaluation	7,420	8,190	7,688	8,692	1,272	502	1,004
Grand Total	**125,879**	**153,435**	**145,766**	**156,313**	**30,434**	**2,878**	**10,547**

Sources: April 2010 SHCPU [1], December 2015 GAO Report [33], and PB23 Exhibits.

The AWF grew by 30,434 (or 24 percent), between FY2008 and FY2015—exceeding the January PB23 estimate by 2,878 and the April 2010 SHCPU estimate by 10,547. The career fields with the largest actual growth were Engineering (6,513—19 percent), Life Cycle Logistics (5,861—44 percent), Contracting (4,550—18 percent); Program Management (3,804—30 percent); and S&T Manager (3,201—667 percent)—though changes in Life Cycle Logistics and S&T Manager numbers were largely administrative in nature. The only category that did not increase between FY2008 and FY2015 was "Other"—which indicates better identification of personnel to actual career fields.

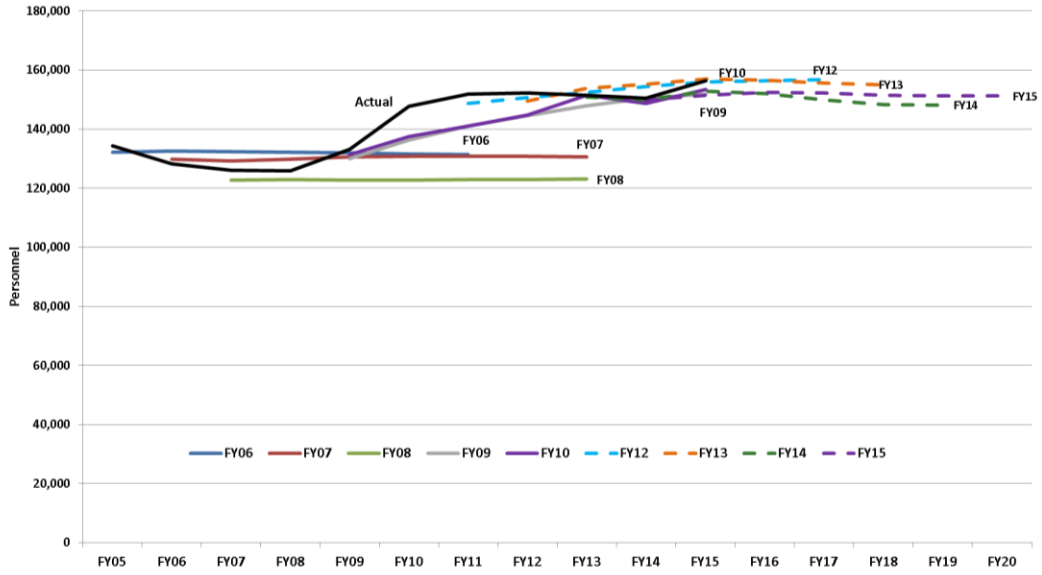
In reviewing actual FY2015 AWF composition against the January 2010 PB23, we see that differences by career field are similar to those noted in the December 2015 GAO report—the exceptions being Auditing, which has a positive (vice negative) delta, and Engineering, which has a negative (vice positive) delta. The largest deltas are for S&T Manager (3,426), "Other" (3,223—driven primarily by an Air Force estimate of 2,701, which changed to zero in the January 2012 PB23), Life Cycle Logistics (2,680), Information Technology (1,530), Contracting (-1,102), and BCFM (-1,078).

These changes between 2010 projections and FY2015 actuals, however, could be due to a number of factors—ranging from lack of funding to "fact-of-life" or a better understanding of requirements. To gain additional insight into how projections and requirements have changed over time, and the associated strategic workforce planning, we will examine how these projections have evolved from year to year and review, where appropriate, more detailed Component and career-field data.

To better see trends in the PB23 projections, we will use a series of graphics that depict the PB23 estimates across the years for which they provide projections. These

"horsetail" charts allow the reader to see how out-year estimates change over time, and how they relate, ultimately, to actual values (shown as a solid black line). Figure 17 shows PB23 estimate values for the entire Defense AWF from FY2006 to FY2015, with the exception of FY2011, where a portion of the data was not available. In looking at DOD as a whole, it might appear that AWF estimates increased in FY2009 and FY2010 across the department, and that they have remained fairly consistent—but this is misleading as there have been significant changes at the Component level.

Figure 17. DOD Total PB23 Estimates, FY2006 to FY2015



Source: Human Capital Initiatives office, PB23 Data.

Comparison of Component Projected versus Actual

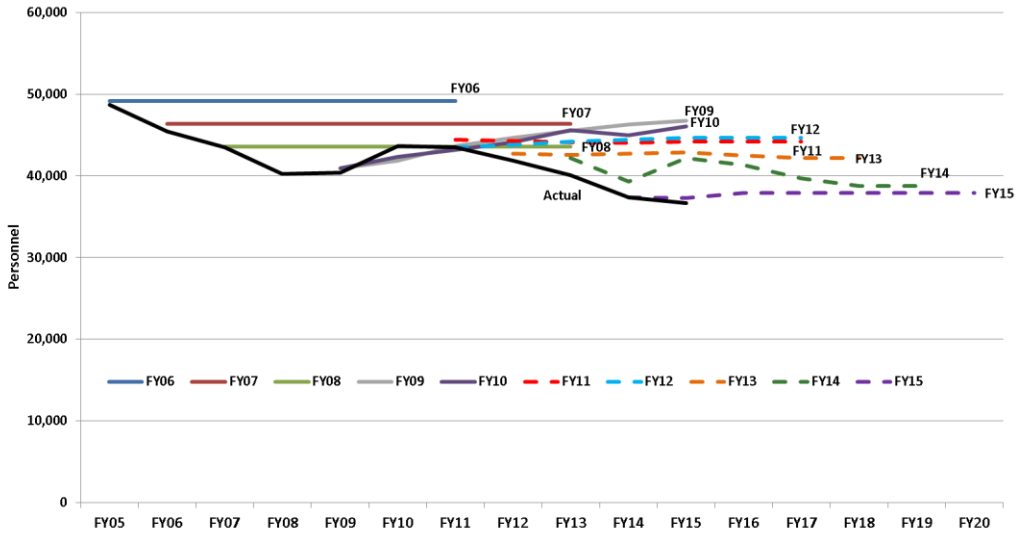
Looking at the four Services, we see very different trends. In the Army (Figure 18), AWF PB23 personnel estimates have ultimately decreased, driven by civilian fiscal constraints and personnel reductions across the Service. As seen in Figure 18, actual reductions have occurred at a faster rate than predicted.

In the U.S. Navy and Marine Corps (Figures 19 and 20), AWF projections increased significantly in FY2009 and FY2010, and then leveled out after FY2011 at higher levels. Actual staffing levels have also exceeded the PB23 estimated values, influenced by the use of DAWDF funding and the ability to hire through working capital fund accounts.

The Air Force (Figure 21), like the U.S. Navy and Marine Corps, saw significant increases in AWF PB23 projections in FY2009 and FY2010, which stabilized in FY2011 and out. Air Force actual staffing levels also exceeded the PB23 estimates,

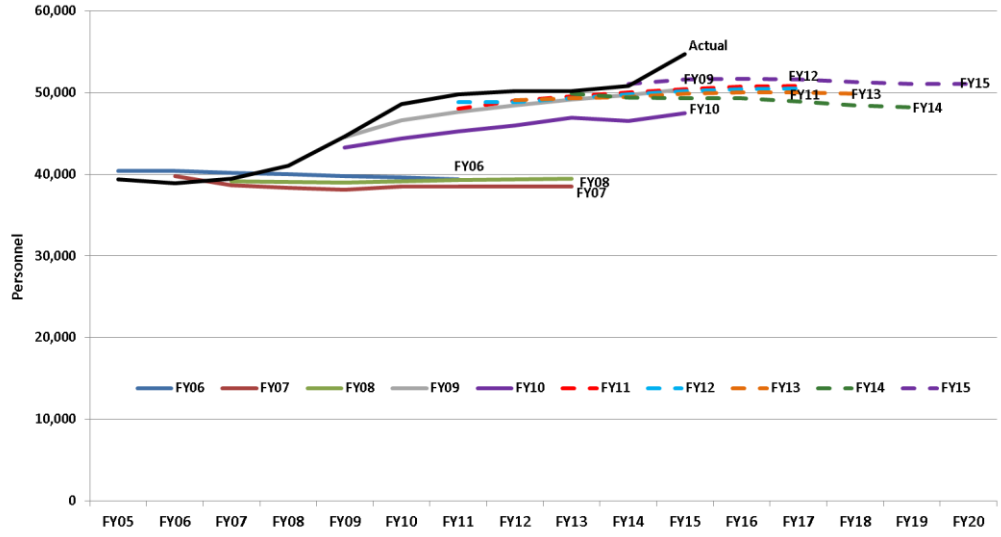
supported by the use of DAWDF funds. Horsetail charts for the Fourth Estate and four largest defense agencies are shown in Figures 22–26, with overall growth for the Fourth Estate higher than predicted in the PB23s, though DLA growth lagged and then increased, largely through administrative gains of Life Cycle Logistics personnel.

Figure 18. U.S. Army PB23 Estimates, FY2006 to FY2015



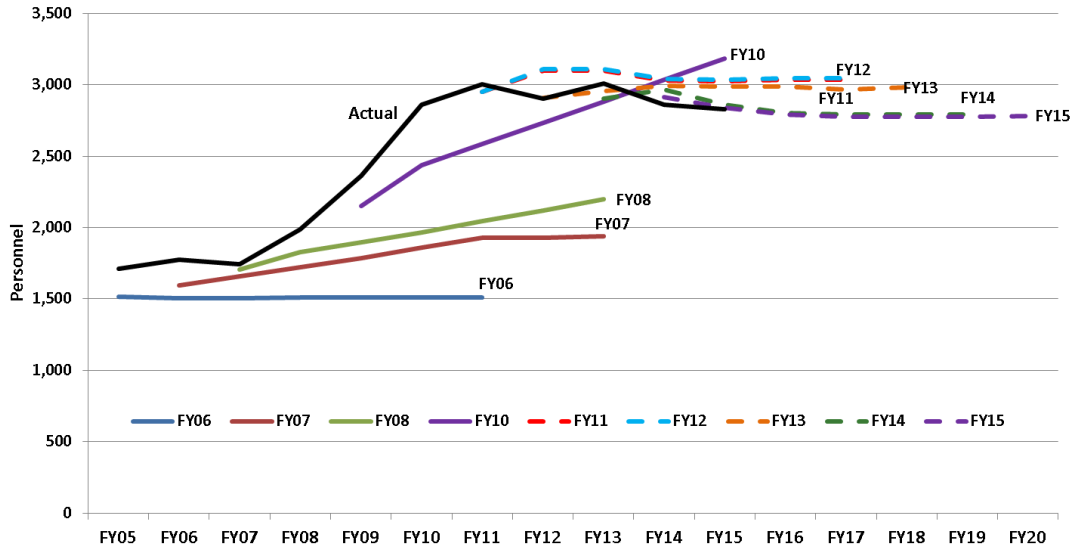
Source: Human Capital Initiatives office, PB23 data.

Figure 19. U.S. Navy PB23 Estimates, FY2006 to FY2015



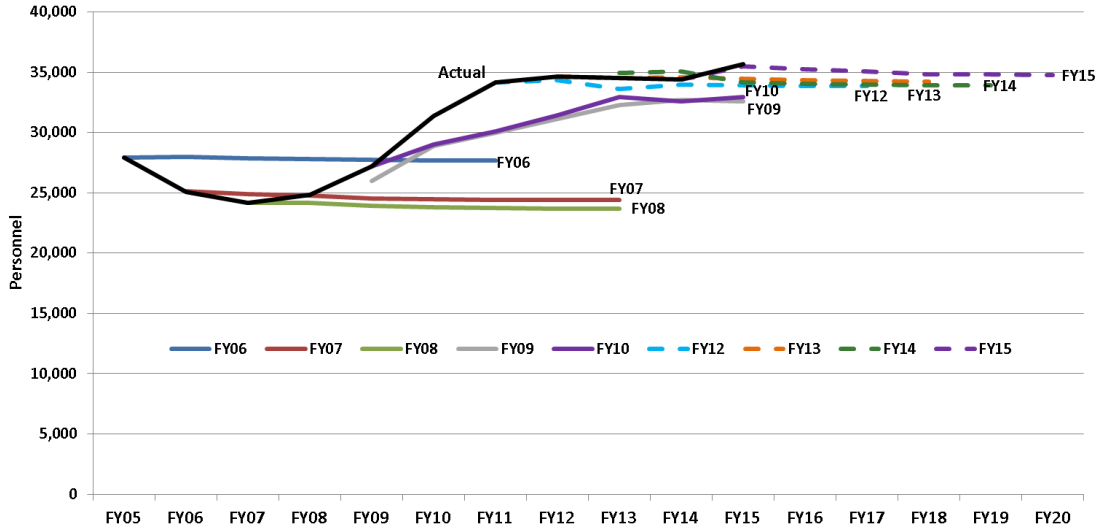
Source: Human Capital Initiatives office, PB23 data.

Figure 20. U.S. Marine Corps PB23 Estimates, FY2006 to FY2015



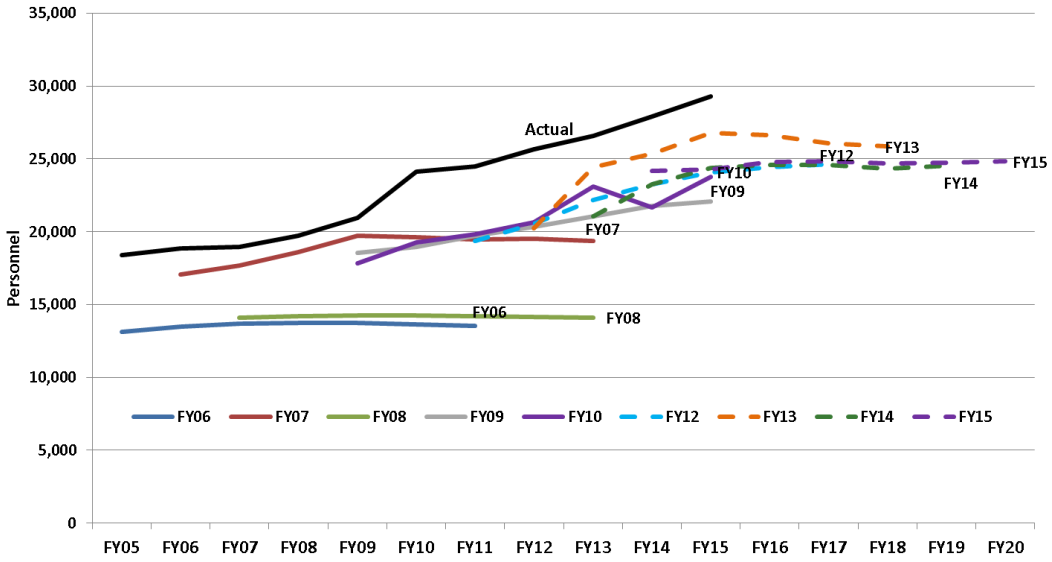
Source: Human Capital Initiatives office, PB23 data.

Figure 21. U.S. Air Force PB23 Estimates, FY2006 to FY2015



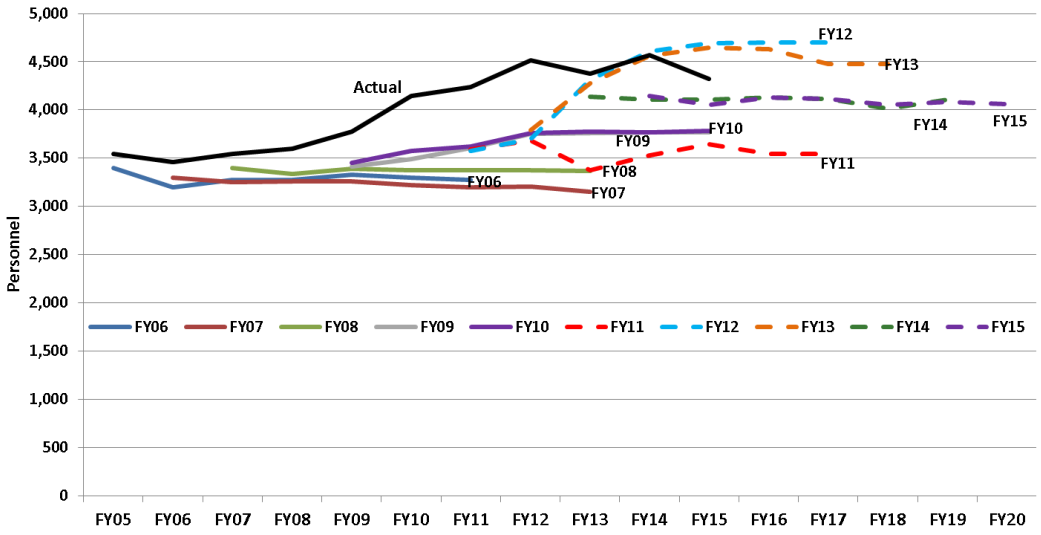
Source: Human Capital Initiatives office, PB23 data.

Figure 22. Fourth Estate (compiled) PB23 Estimates, FY2006 to FY2015



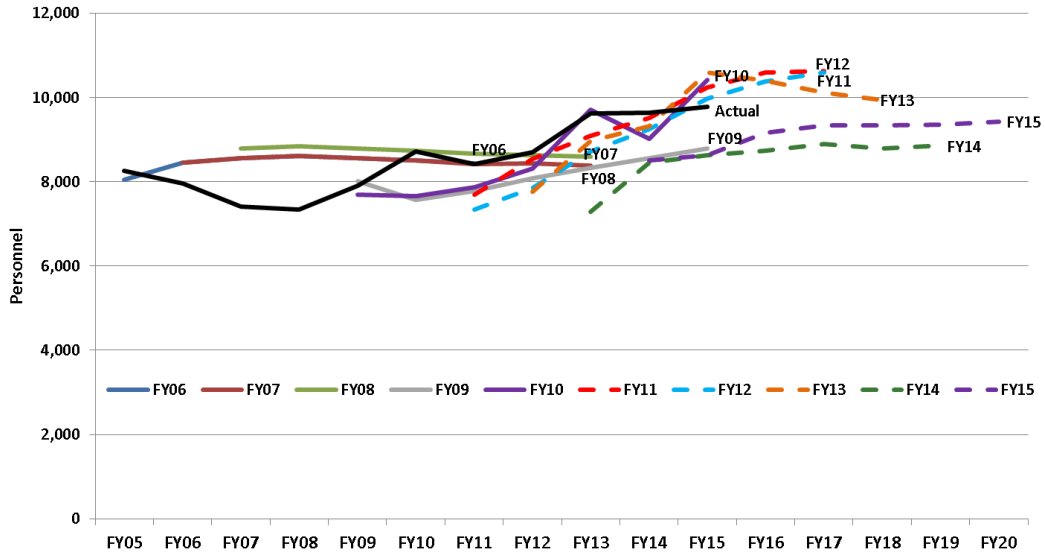
Source: Human Capital Initiatives office, PB23 data.

Figure 23. DCAA PB23 Estimates, FY2006 to FY2015



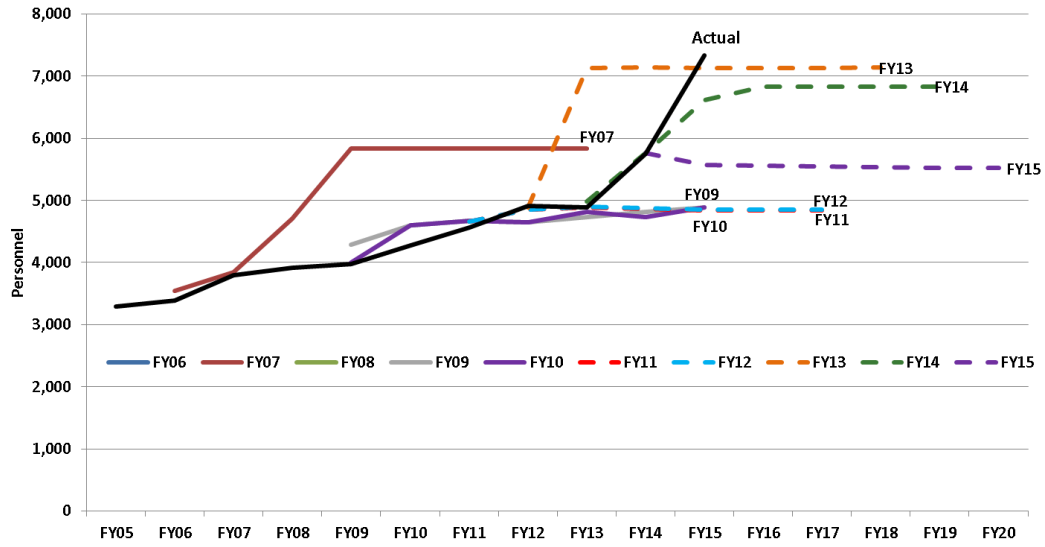
Source: Human Capital Initiatives office, PB23 data.

Figure 24. DCMA PB23 Estimates, FY2006 to FY2015



Source: Human Capital Initiatives office, PB23 data.

Figure 25. DLA PB23 Estimates, FY2006 to FY2015



Source: Human Capital Initiatives office, PB23 data.

Figure 26. MDA PB23 Estimates, FY2006 to FY2015

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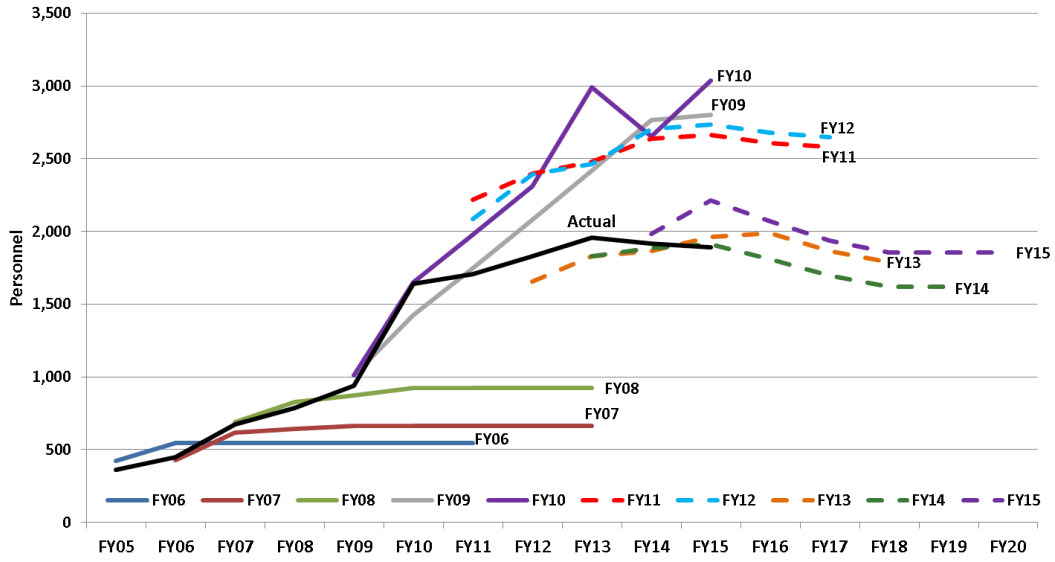


Source: Human Capital Initiatives office, PB23 data.

Table 11 displays the AWF staffing levels projected for FY2015 in the January 2010 PB23 versus the actual FY2015 levels, along with both numerical and percentage differences. As seen in Figures 18–26, most Components exceeded their AWF projections for FY2015, with the largest differences, by number, being in the U.S. Navy (7,253), Air Force (2,705), and DLA (2,442). In addition, the Fourth Estate Components not listed individually exceeded their FY2015 projection by 1,481, which is 90 percent higher than their projected level.

Three Components fell below the levels projected in the January 2010 PB23: Army (-9,407), MDA (-1,147), and Marine Corps (-354). In MDA and the Marine Corps, this represented a decrease to projected growth—that is, from FY2008 to FY2015, MDA grew by 1,104 vice 2,251, and the Marine Corps grew by 841 vice 1,195. Alternatively, the Army was projected to grow by 5,771 between FY2008 and FY2015, and instead decreased by 3,636.

Observation 10: *All major Component AWFs except the Army grew between FY2008 and FY2015. While the Army projected in the January 2010 PB23 that it would have a 6,509-person increase in the AWF by FY2015, it experienced a decrease of 3,636 personnel—and future projections maintain the AWF at this level.*

Table 11. January 2010 PB23 Projections vs. Actuals, by Component, for FY2015 AWF

	FY15 AWF Size			
	Jan 2010 PB23	Actual	Delta	% Delta
U.S. Navy	47,483	54,736	7,253	15%
Army	46,040	36,633	(9,407)	-20%
Air Force	32,960	35,665	2,705	8%
DCMA	10,409	9,773	(636)	-6%
DLA	4,887	7,329	2,442	50%
DCAA	3,781	4,322	541	14%
Marine Corps	3,183	2,829	(354)	-11%
MDA	3,039	1,892	(1,147)	-38%
All Other Components	1,653	3,134	1,481	90%
Total	153,435	156,313	2,878	2%

Source: Human Capital Initiatives office, PB23 data.

Evaluation of AWF Career Field, Projected versus Actual

The differences between the actual AWF career-field levels in FY2015 and the projections for FY2015 in the January 2010 PB23 and the April 2010 SHCPU, are strongly linked to the Component differences noted in the previous section. We will now touch briefly on the trends for the career fields noted as having the largest differences between planned AWF levels in 2010 and the FY2015 actuals in Table 10. To support this analysis, we have generated tables that compare the January 2010 PB23 estimates for FY2015, by career field, with actual AWF levels. These tables are included in Appendix E for each Service, and Appendix F for the four largest DOD agencies.

Based on the information in Appendices F and G, we find the following with respect to the largest differences between projected and actual career-field levels in FY2015:

- **S&T Manager (+3,426).** This increase was driven primarily by an increase in the Air Force that was 2,632 higher than projected. In addition, both the Navy and Army have projected having zero S&T Managers in FY2015, but had actuals of 482 and 393, respectively.

- **Life Cycle Logistics (+2,680).** This increase was based on increases above projected levels by DLA (+2,509) and the U.S. Navy (+1,121), which more than offset the shortfall from the Army (-1,694).

- **Information Technology (+1,530).** Driven primarily by the U.S. Navy (+1,468), which more than doubled their January 2010 PB23 estimate of 1,070).

- **Engineering (-898).** Although Engineering actuals in FY2015 exceeded the April 2010 SHCPU projection, they fell below the January 2010 PB23 estimate. This was predominantly due to decreases for the Army (-2,415) and MDA (-639) offsetting increases for the Air Force (+935) and U.S. Navy (+901).

- **Business, Cost Estimating, and Financial Management (-1,078).** Driven primarily by a decrease in the Army (-1,116).

- **Contracting (-1,102).** Decrease resulted from lower than projected levels for the Army (-1,746) and DLA (-586), although the Air Force had actuals that were 675 higher than projected.

Stability of AWF Requirements

The previous section reviewed how Components' total AWF estimates evolved from FY2006 to FY2015. We now look in more detail at how the Component PB23 projections changed, over time, by career field. It is expected that requirements will change over time, based on a more accurate understanding of programs to be executed and specific requirements. The size of these changes, and whether they occur in a consistent fashion, provide insight into potential effects on gap analysis and the ability to determine recruiting and training requirements in the strategic planning process.

In Appendix G, we provide a series of tables that show the FY2009 to FY2015 PB23 Exhibit projections for FY2015, by career field, for the eight largest AWF Components. In most cases, we see that projections get closer to the actual FY2015 values in successive PB23 submissions. In some cases, though, projections in the PB23 Exhibits do not appear to improve over time or have large differences between the FY2014 and FY2015 projections and the FY2015 actuals. We offer examples of these in Tables 11-14, with data from FY2012 to FY2015, where the columns to the left of the FY2015 actuals reflect the PB23 estimates, and columns to the right of the actuals reflect the deltas (in descending FY order) between the PB23 estimate and the FY2015 actuals.

For DLA, in Table 12, we see large changes from FY2012 through FY2015, driven by changes associated with the Life Cycle Logistics career field. Beginning in FY2013, DLA made a significant change in how it would assess whether Life Cycle Logistics positions would be considered as part of the AWF. Resulting changes, largely through administrative gains, rapidly grew this career field—and additional growth is expected.

Table 12. DLA PB23 Estimates Compared with FY2015 Actuals

DLA	DLA PB23 Estimates for FY2015				2015	Deltas from PB23 Estimates for FY2015			
	2012	2013	2014	2015	Actual	2015	2014	2013	2012
Auditing	5	8	5	-	**-**	-	(5)	(8)	(5)
BCFM	16	-	4	4	**1**	(3)	(3)	1	(15)
Contracting	3,322	3,162	3,126	3,026	**3,257**	231	131	95	(65)
Engineering	6	60	31	32	**11**	(21)	(20)	(49)	5
Facilities Engineering	10	1	1	52	**1**	(51)	-	-	(9)
I&CPM	17	43	55	53	**3**	(50)	(52)	(40)	(14)
IT	-	-	3	2	**113**	111	110	113	113
Life Cycle Logistics	145	2,500	2,040	1,153	**2,554**	1,401	514	54	2,409
Other	60	93	93	10	**-**	(10)	(93)	(93)	(60)
PQM	855	845	822	815	**868**	53	46	23	13
PM	6	15	5	13	**113**	100	108	98	107
Purchasing	390	369	418	394	**398**	4	(20)	29	8
S&T Manager	-	-	-	-	**9**	9	9	9	9
T&E	15	32	12	12	**1**	(11)	(11)	(31)	(14)
Grand Total	4,847	7,128	6,615	5,566	**7,329**	1,763	714	201	2,482

Source: Human Capital Initiatives office, PB23 data.

For the U.S. Navy, Table 13, we note that the PB23 estimate in FY2014 had a number of career fields that varied significantly from FY2015 actuals, with the largest being Engineering, which was underestimated by 1,627 personnel. In addition, FY2015 PB23 estimates underestimated actuals by more than 500 in three career fields (Contracting, Engineering, and IT).

Table 13. USN PB23 Estimates Compared with FY2015 Actuals

USN	USN PB23 Estimates for FY2015				2015	Deltas from PB23 Estimates for FY2015			
	2012	2013	2014	2015	Actual	2015	2014	2013	2012
Auditing	-	-	-	-	**-**	-	-	-	-
BCFM	2,548	2,372	2,209	2,196	**2,351**	155	142	(21)	(197)
Contracting	5,290	5,134	4,914	5,008	**5,588**	580	674	454	298
Engineering	19,666	19,470	19,189	20,171	**20,816**	645	1,627	1,346	1,150
Facilities Engineering	5,252	5,291	5,251	5,232	**5,229**	(3)	(22)	(62)	(23)
I&CPM	76	73	57	52	**61**	9	4	(12)	(15)
IT	1,652	1,748	1,849	1,958	**2,538**	580	689	790	886
Life Cycle Logistics	4,995	5,045	5,216	5,462	**5,716**	254	500	671	721
Other	-	-	-	-	**1**	1	1	1	1
PQM	2,300	2,371	2,455	2,521	**2,777**	256	322	406	477
PM	4,971	4,947	4,856	5,354	**5,535**	181	679	588	564
Purchasing	472	452	436	436	**435**	(1)	(1)	(17)	(37)
S&T Manager	49	45	12	233	**482**	249	470	437	433
T&E	2,900	2,907	2,892	2,967	**3,207**	240	315	300	307
Grand Total	50,171	49,855	49,336	51,590	**54,736**	3,146	5,400	4,881	4,565

Source: Human Capital Initiatives office, PB23 data.

Air Force estimates (Table 14) improved over time, but FY2014 PB23 estimates underestimated FY2015 actuals by over 500 for both Contracting and Engineering.

Table 14. Air Force PB23 Estimates Compared with FY2015 Actuals

Air Force	Air Force PB23 Estimates for FY2015				2015	Deltas from PB23 Estimates for FY2015			
	2012	2013	2014	2015	Actual	2015	2014	2013	2012
Auditing	-	-	-	-	-	-	-	-	-
BCFM	2,267	2,287	2,294	2,406	**2,398**	(8)	104	111	131
Contracting	7,938	7,982	7,996	8,333	**8,534**	201	538	552	596
Engineering	8,041	8,273	8,176	8,690	**8,903**	213	727	630	862
Facilities Engineering	6	4	3	5	**166**	161	163	162	160
I&CPM	26	24	23	23	**20**	(3)	(3)	(4)	(6)
IT	1,195	1,249	1,223	1,242	**1,133**	(109)	(90)	(116)	(62)
Life Cycle Logistics	2,836	2,845	2,782	2,944	**3,028**	84	246	183	192
Other	-	1	-	-	**6**	6	6	5	6
PQM	372	363	298	312	**331**	19	33	(32)	(41)
PM	5,504	5,601	5,599	5,571	**5,366**	(205)	(233)	(235)	(138)
Purchasing	118	113	112	109	**79**	(30)	(33)	(34)	(39)
S&T Manager	2,566	2,670	2,605	2,732	**2,674**	(58)	69	4	108
T&E	3,039	3,038	3,018	3,128	**3,027**	(101)	9	(11)	(12)
Grand Total	33,908	34,450	34,129	35,495	**35,665**	170	1,536	1,215	1,757

Source: Human Capital Initiatives office, PB23 data.

As noted in earlier sections, Army AWF estimates (Table 15) have declined significantly since 2008, driven largely by decreasing end strength and proportional civilian reductions. This resulted in the Army's FY2014 PB23 estimate being over 5,000 personnel different than FY2015 actuals. The FY2015 PB23 estimate was much closer, but the FY2014 estimate would have significantly affected planning efforts.

Table 15. Army PB23 Estimates Compared with FY2015 Actuals

Army	Army PB23 Estimates for FY2015				2015	Deltas from PB23 Estimates for FY2015			
	2012	2013	2014	2015	Actual	2015	2014	2013	2012
Auditing	-	-	-	-	-	-	-	-	-
BCFM	2,722	2,660	2,488	1,931	**1,906**	(25)	(582)	(754)	(816)
Contracting	10,311	9,946	9,155	8,265	**8,010**	(255)	(1,145)	(1,936)	(2,301)
Engineering	9,997	9,643	10,299	9,231	**8,986**	(245)	(1,313)	(657)	(1,011)
Facilities Engineering	1,760	1,720	1,776	1,564	**1,497**	(67)	(279)	(223)	(263)
I&CPM	72	72	57	51	**45**	(6)	(12)	(27)	(27)
IT	2,371	2,311	2,010	1,693	**1,682**	(11)	(328)	(629)	(689)
Life Cycle Logistics	8,902	8,581	8,623	7,474	**7,201**	(273)	(1,422)	(1,380)	(1,701)
Other	350	342	13	12	**11**	(1)	(2)	(331)	(339)
PQM	2,006	1,768	1,692	1,406	**1,393**	(13)	(299)	(375)	(613)
PM	3,542	3,398	3,465	3,385	**3,281**	(104)	(184)	(117)	(261)
Purchasing	357	344	350	250	**272**	22	(78)	(72)	(85)
S&T Manager	-	-	-	-	**393**	393	393	393	393
T&E	2,302	2,119	2,228	2,021	**1,956**	(65)	(272)	(163)	(346)
Grand Total	44,692	42,904	42,156	37,283	**36,633**	(650)	(5,523)	(6,271)	(8,059)

Source: Human Capital Initiatives office, PB23 data.

Estimation of Civilian AWF Losses and Gains

Once the Components have determined their projected requirements, they must conduct gap analysis—based on current AWF composition and their projected losses—to determine what gains will be required in each FY. The April 2010 AWF Appendix to the SHCPU contained projected gains and losses for eight of the AWF career fields: Business, Cost Estimating, and Financial Management, Contracting, Information Technology, Life Cycle Logistics, Program Management, Production, Quality and Manufacturing, Systems Planning, Research, Development and Engineering (now Engineering), and Test and Evaluation. The next series of graphs display how these April 2010 projections (dotted lines) compare with each FY's actual (solid lines) gains and losses. Gains are represented by the green lines with positive values, losses by red lines with negative values, and deltas (net value) between the gains and losses by the black lines, which can be positive or negative. Data for Figures 27–34 and Tables 15 and 16 come from the April 2010 AWF Appendix to the SHCPU and the FY15Q4 Defense Acquisition Workforce Summary briefings for each career field from the HCI website.

Figure 27. Business, Cost Estimating, and Financial Management Gains/Losses

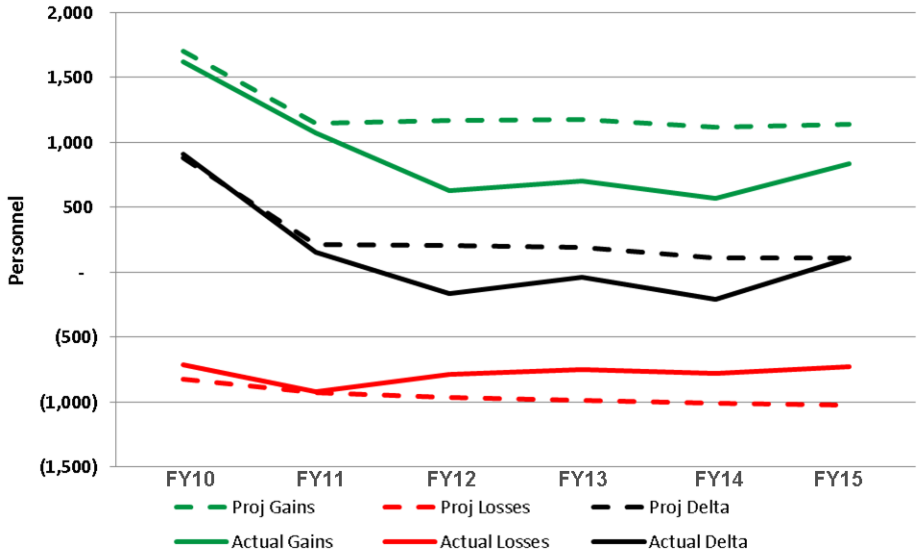


Figure 28. Contracting

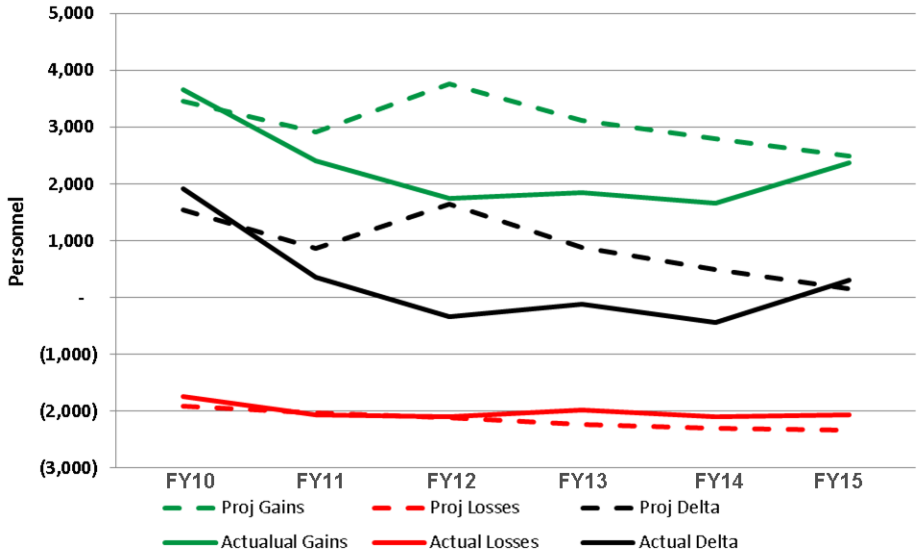


Figure 29. Engineering

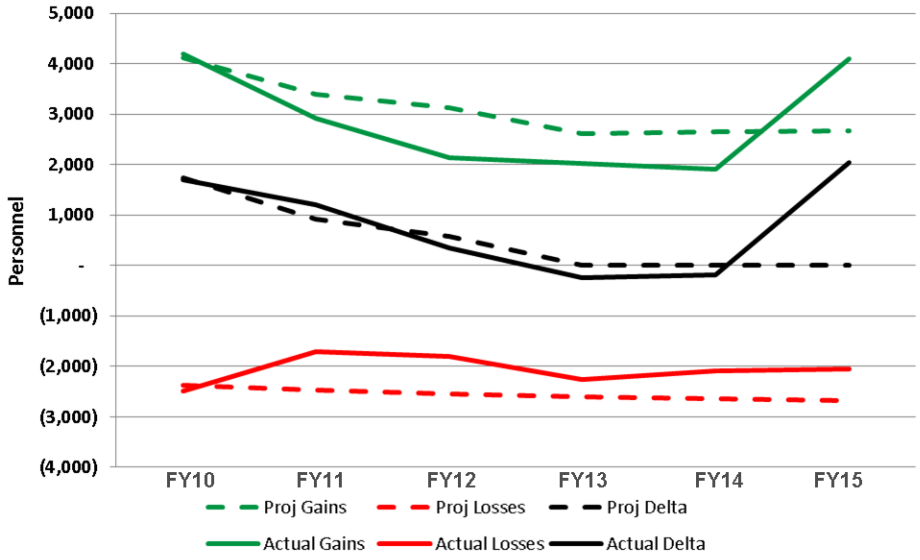


Figure 30. Information Technology

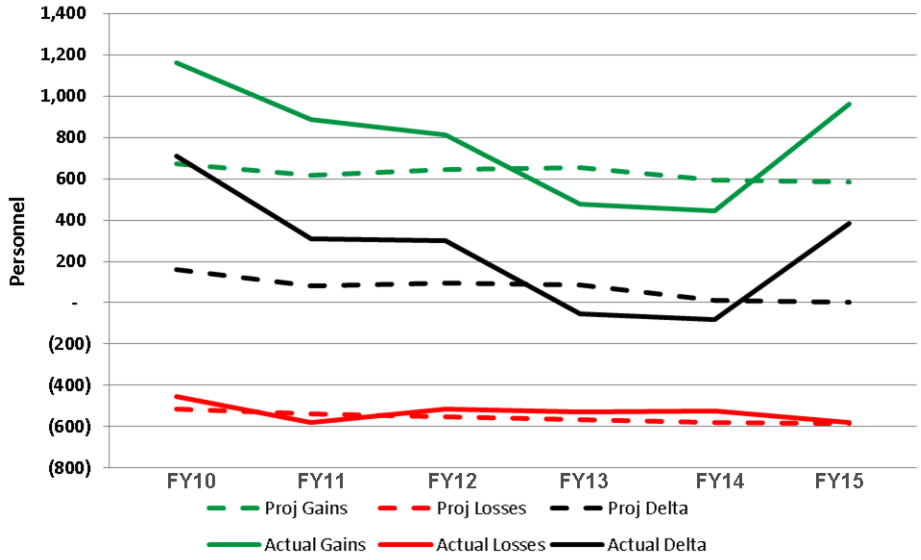


Figure 31. Life Cycle Logistics

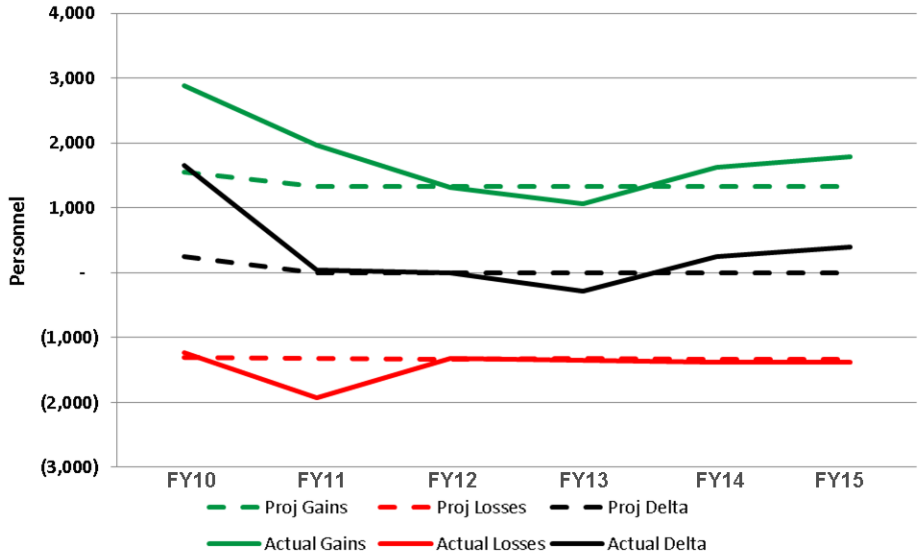


Figure 32. Program Management

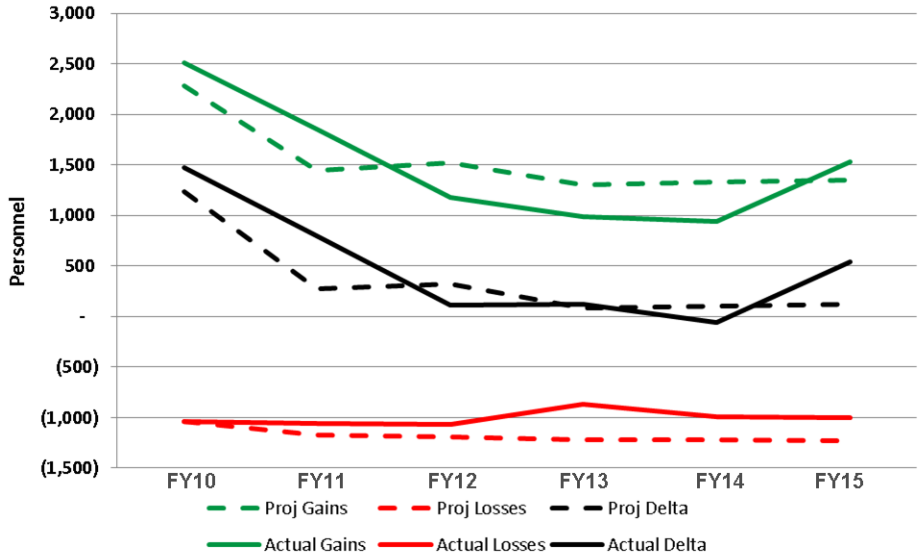


Figure 33. Production, Quality, and Manufacturing

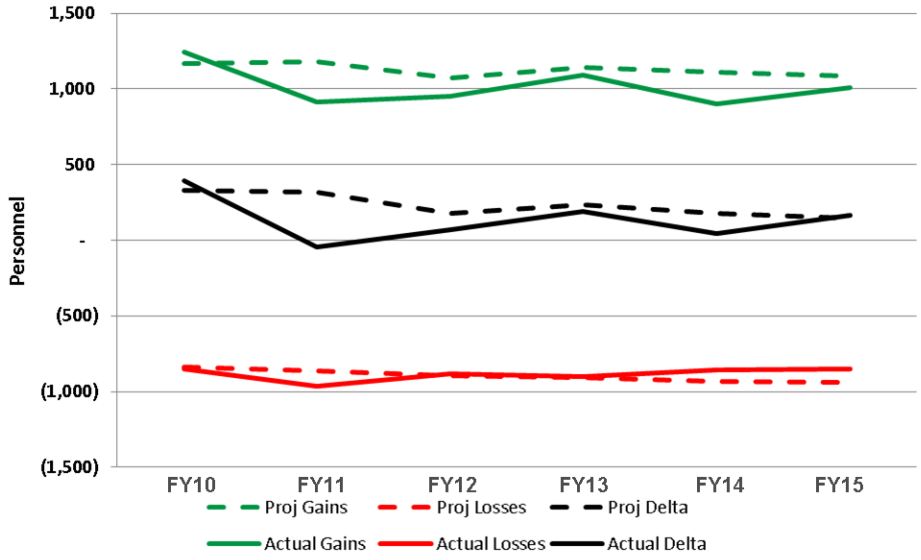
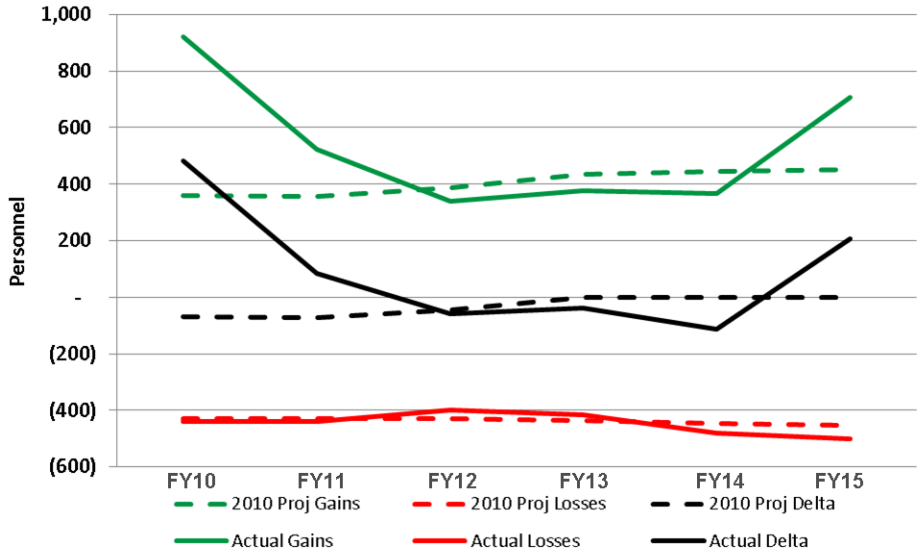


Figure 34. Test and Evaluation



In each of the previous eight figures, we see a very strong correlation between the losses projected and the actuals. In Table 16, we reflect the difference between the projected losses and the actual losses, as a percentage of the FY2010 baseline. We have subtracted the actual losses from the projected losses, so a positive value indicates that losses were less than projected. As seen in the table, in only one case were losses more than 1 percent greater than projected (-4 percent for Life Cycle Logistics) in FY2011. In all other cases, losses ranged from -1 percent to +4 percent.

Table 16. Delta of Career Field Projected vs. Actual Losses, as Percentage of Career Field

	FY10 Baseline	2010	2011	2012	2013	2014	2015
BCFM Loss Delta	7,874	1%	0%	2%	3%	3%	4%
Contracting Loss Delta	25,638	1%	0%	0%	1%	1%	1%
Engineering Loss Delta	36,932	0%	2%	2%	1%	1%	2%
Information Technology Loss Delta	4,873	1%	-1%	1%	1%	1%	0%
Life Cycle Logistics Loss Delta	15,741	0%	-4%	0%	0%	0%	0%
Program Management Loss Delta	10,262	0%	1%	1%	3%	2%	2%
PQM Loss Delta	8,915	0%	-1%	0%	0%	1%	1%
Test and Evaluation Loss Delta	6,706	0%	0%	0%	0%	-1%	-1%

Observation 11 *DOD loss planning factors in April 2010 were extremely accurate in comparison to actual losses, indicating ability to use historical factors and AWF demographics to predict future losses.*

Table 17 shows similar deltas with respect to civilian projected versus actual gains. Because the government has much more control of gains than of losses, we would expect that there would be more variation in these values. On the whole, however, the percentage deltas from FY2012 to FY2015 have been 5 percent or less of career-field size, with the exception of Business, Cost Estimating, and Financial Management (FYs 2012, 2013, and 2014) and Contracting (FY2012). Interviewees also noted that the cancellation of the Federal Civilian Intern Program (FCIP) in November 2010 caused some delays in hiring as the changes to the new Pathways program were implemented and defined. In most cases, we see decreased hiring in FY2013 and FY2014—in many cases due to DOD or Service hiring freezes—with increased hiring occurring in FY2015.

Table 17. Delta of Career Field Projected vs. Actual Gains, as Percentage of Career Field

	FY10 Baseline	2010	2011	2012	2013	2014	2015
BCFM Gain Delta	7,874	-1%	-1%	-7%	-6%	-7%	-4%
Contracting Gain Delta	25,638	1%	-2%	-8%	-5%	-4%	0%
Engineering Gain Delta	36,932	0%	-1%	-3%	-2%	-2%	4%
Information Technology Gain Delta	4,873	10%	6%	3%	-4%	-3%	8%
Life Cycle Logistics Gain Delta	15,741	8%	4%	0%	-2%	2%	3%
Program Management Gain Delta	10,262	2%	4%	-3%	-3%	-4%	2%
PQM Gain Delta	8,915	1%	-3%	-1%	-1%	-2%	-1%
Test and Evaluation Gain Delta	6,706	8%	3%	-1%	-1%	-1%	4%

HCI has also been tracking six specific categories with respect to civilian gain and loss data, by Component and career field:

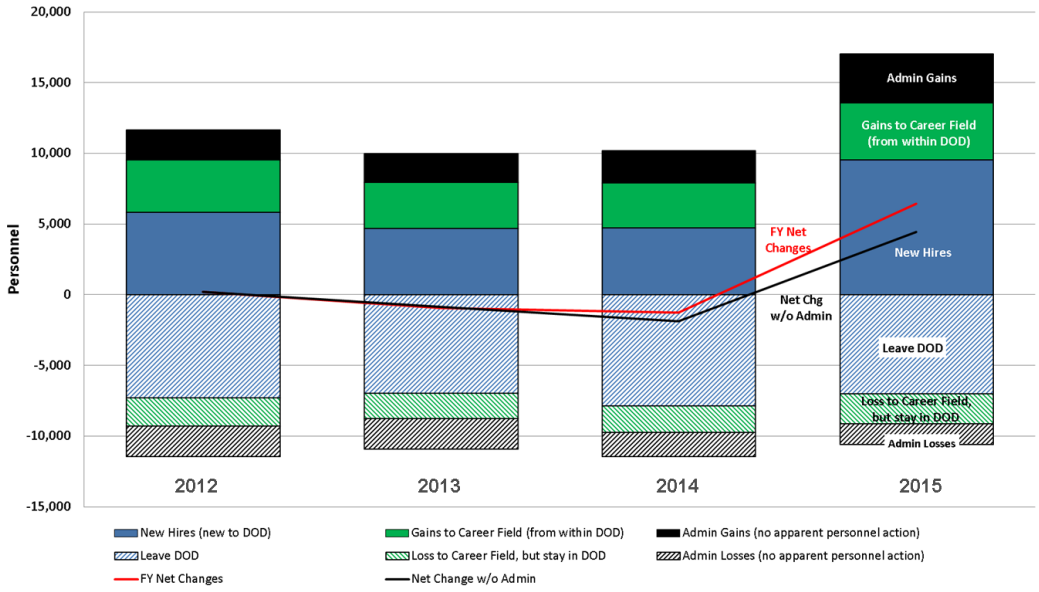
- Gains
  - New Hires (new to DOD)
  - Gains to Career Field from within DAW [AWF] or DOD
  - Administrative gains (no apparent personnel action).
- Losses
  - Leave DOD
  - Losses to Career Field, but stay in DAW [AWF] and/or DOD
  - Administrative losses (no apparent personnel action).

Observation 12: *The level of detail on AWF gains and losses—now maintained by the Components and tracked by HCI—provides an excellent resource for data analytics regarding where AWF personnel transition from and to.*

Using data for FY2012 to FY2015, we have developed figures that display total civilian gains and losses, based on these six categories. These figures clearly show the portion of the AWF that is coming from outside of DOD, versus that transferring within DOD or representing an administrative "recoding" of an already existing DOD position. Gains are shown as positive values (i.e., above the horizontal axis), while losses are shown as negatives (below the axis). The colors and patterns are intended to allow the comparison of similar categories—that is, solid blue is used for new hires (gains for DOD) and patterned blue represents losses to DOD.

Each figure also includes two lines indicating net growth or loss for each year. The first line (in red), shows the net difference with all gains and losses, which represent formal changes to the AWF count. The second line (in black) shows the net difference excluding "Administrative" gains and losses, as these are personnel in positions that already existed. This black line provides insight into the direct increases or decreases of personnel doing acquisition each year.

Figure 35. DOD Total Civilian AWF Gains and Losses, FY2012–2015, by Category

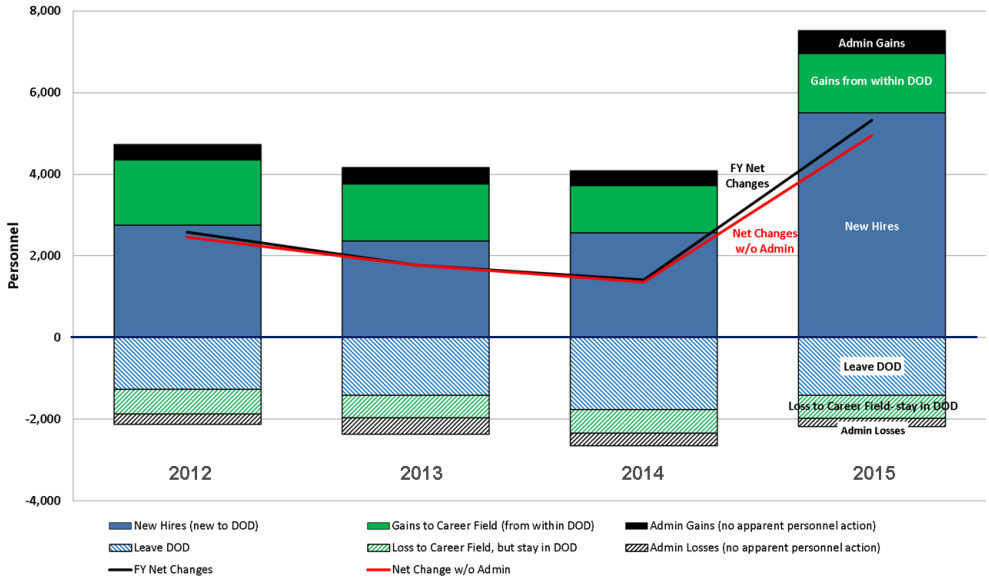


Source: Human Capital Initiatives office, Gain/Loss Spreadsheet.

In Figure 35, we see that the number of new hires increased in FY2015 (4,024 more than in FY2014), while gains from within DOD have remained fairly consistent across this period—ranging from 4,613 (FY2013) to 5,830 (FY2015). We see from the FY net change (red) line that the total size of the civilian AWF did not effectively change in FY2012, decreased slightly in FY2013 (-947) and FY2014 (-733), but increased significantly in FY2015 (+5,901). In addition, the red line (net change without administrative changes) shows that administrative gains effectively equaled

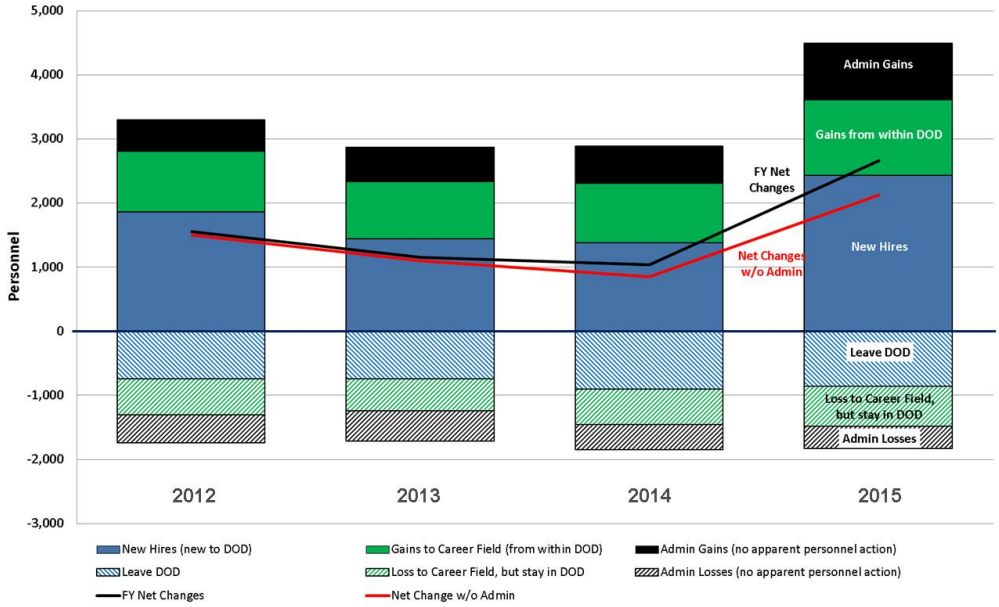
administrative losses in FY2012 and FY2013, exceeded these losses slightly (+578) in FY2014, and grew to +2,019 in FY2015. HCI data also allow the comparison of these data, by phase of career, as shown in Figures 36–39.

Figure 36. Future Career Civilian Gains and Losses, FY2012–2015, by Category



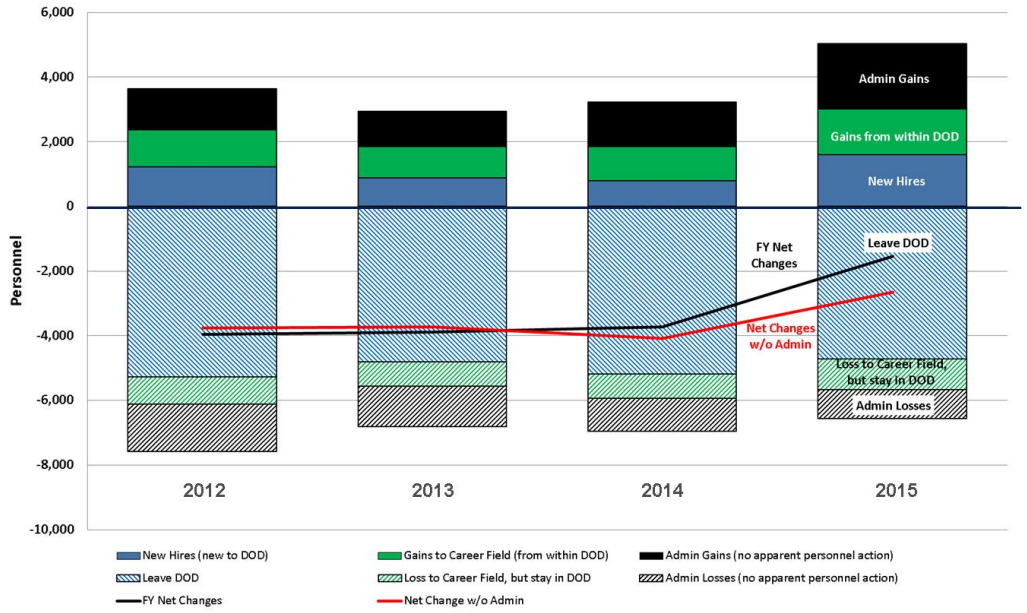
Source: Human Capital Initiatives office, Gain/Loss Spreadsheet.

Figure 37. Mid-Career Civilian Gains and Losses, FY2012–2015, by Category



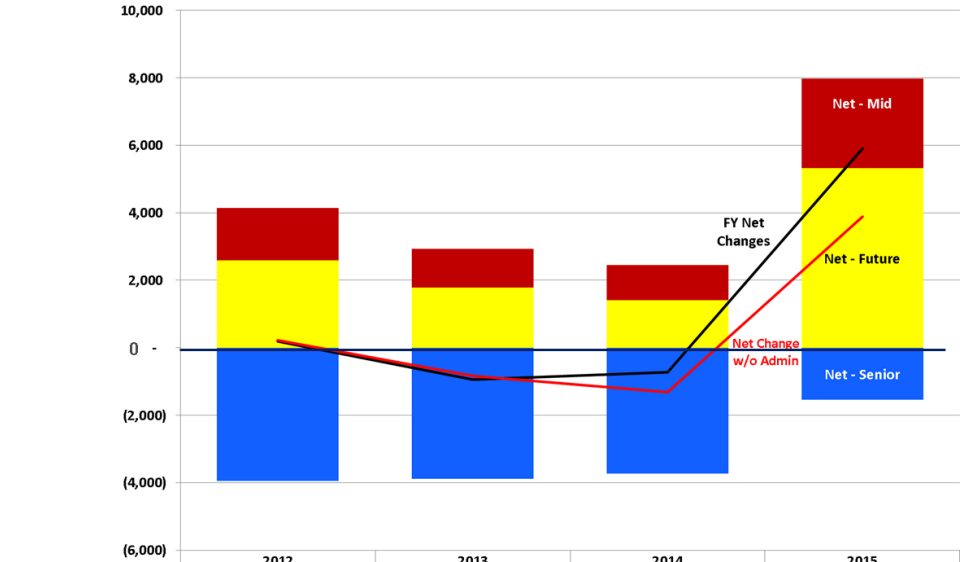
Source: Human Capital Initiatives office, Gain/Loss Spreadsheet.

Figure 38. Senior Career Civilian Gains and Losses, FY2012–2015, by Category



Source: Human Capital Initiatives office, Gain/Loss Spreadsheet.

Figure 39. Net of Gains and Losses by Phase of Career, FY2012–2015



	2012	2013	2014	2015
Net - Senior	(3,954)	(3,886)	(3,727)	(1,536)
Net - Mid	1,554	1,150	1,034	2,662
Net - Future	2,583	1,780	1,412	5,322
FY Net Changes	185	(947)	(733)	5,901
Net Change w/o Admin	216	(836)	(1,311)	3,882

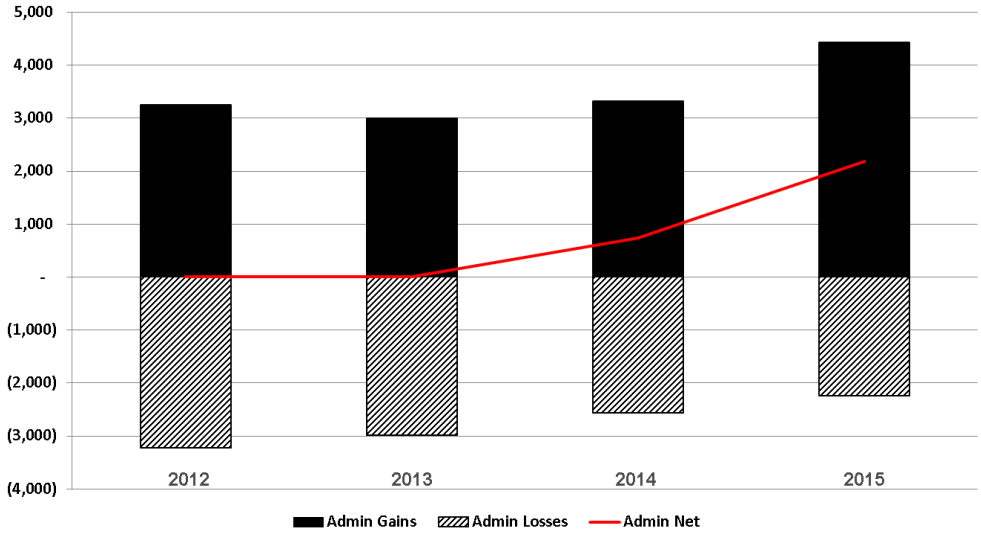
Source: Human Capital Initiatives office, Gain/Loss Spreadsheet.

Administrative Gains and Losses

Based on the numbers of administrative gains and losses for civilian AWF positions in the previous section, we will briefly review trends associated with these changes. These administrative changes are currently at the discretion of the Component, but the increasing nature of these changes warrants consideration of a centralized, HCI-led process to ensure consistency in implementation.

Figure 40 shows the total administrative gains and losses, for all career fields, from FY2012 to FY2015. The red line indicates the net difference between gains and losses each FY, showing a net increase in the AWF Count of over 2,000 in FY2015.

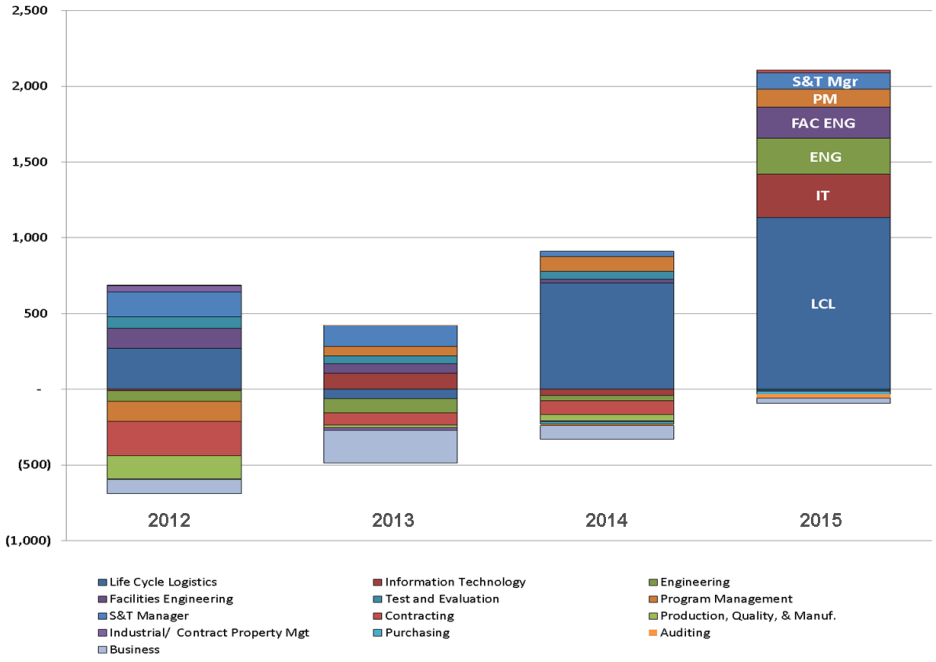
Figure 40. DOD Total Civilian AWF Admin Gains and Losses, FY2012–FY2015



Source: Human Capital Initiatives office, Gain/Loss Spreadsheet.

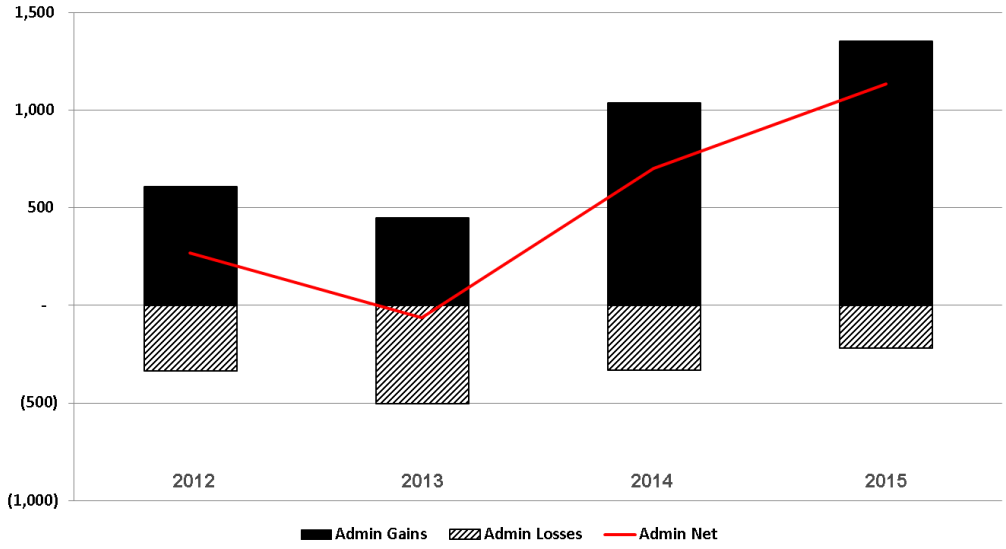
Figure 41 shows the net gains versus losses, by career field and fiscal year. Columns above the horizontal axis experienced a net gain in a particular fiscal year, while those below the axis experienced a net loss. The largest gains in FY2014 and FY2015 were in the Life Cycle Logistics (LCL) career field, although Test and Evaluation has had significant administrative growth since FY2012. Figures 42–44 show total administrative gains and losses, by fiscal year, for the three career fields experiencing the largest net differences (all of which are gains) in FY2015: LCL, IT, and Engineering.

Figure 41. Net of Civilian Gains and Losses by Career Field, from FY2012 to FY2015



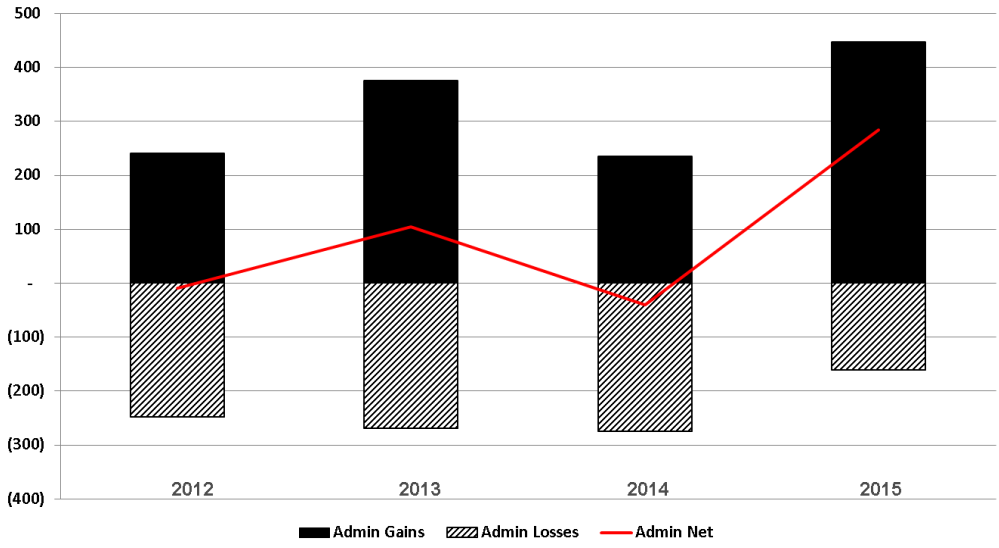
Source: Human Capital Initiatives office, Gain/Loss Spreadsheet.

Figure 42. Net of Civilian AWF Admin Gains and Losses, Life Cycle Logistics, FY2012 – 2015



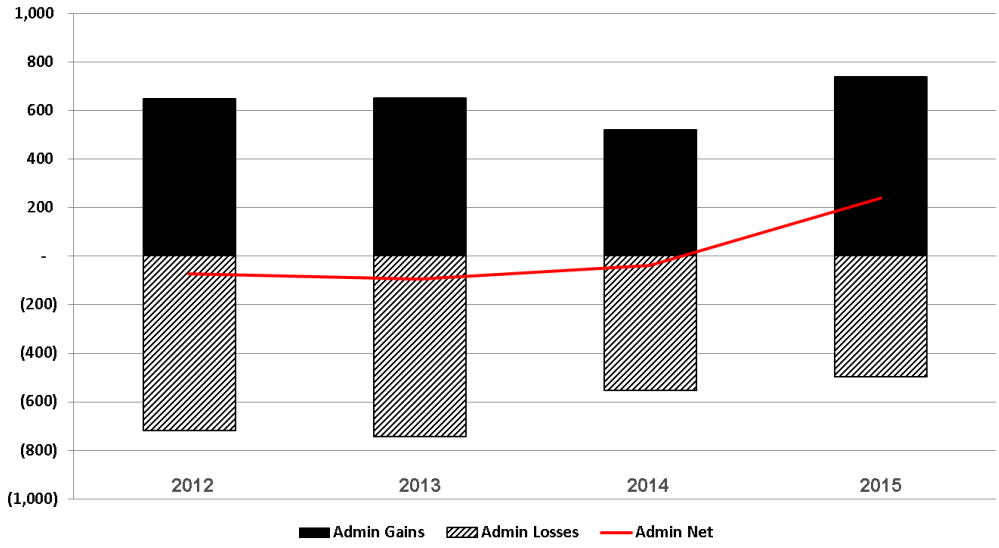
Source: Human Capital Initiatives office, Gain/Loss Spreadsheet.

Figure 43. Net of Civilian AWF Admin Gains and Losses, IT, FY2012–2015



Source: Human Capital Initiatives office, Gain/Loss Spreadsheet.

Figure 44. Net of Civilian AWF Admin Gains and Losses, Engineering, FY2012–2015



Source: Human Capital Initiatives office, Gain/Loss Spreadsheet.

Observation 13: *A significant number of administrative gains and losses are occurring each FY, with the highest number related to the Life Cycle Logistics career field. These gains and losses can increase or decrease the AWF Count, but there is no real increase in personnel or positions. Many of the administrative changes were due to policy changes in the Components on what constitutes an AWF-coded acquisition position.*

Recommendation 13: *HCI should review proposed administrative gains and losses prior to implementation and, when appropriate, bring them to the WMG for discussion to ensure consistency of AWF determination across DOD. Findings should be briefed to the SSB.*

4.4 Major Component Risk Assessments

The ultimate result of strategic planning efforts is the attainment of each Component's AWF, and its ability to professionally execute the acquisition responsibilities of the Component. USD(AT&L) Frank Kendall asked six of the CAEs, (including those for the military departments) to provide their assessment of AWF risk at the April 21, 2016 SSB. Table 18 shows the CAE risk assessments.

Notably, the Army has identified significant risk in four of the five categories, including the overall assessment. This finding aligns with the data shown in previous sections related to Army PB23 projections versus actual staffing levels, that Army AWF reductions have been driven by fiscal reductions, and an approach that the AWF civilian personnel will be reduced at the same rate as all other Army civilian career fields rather than a decrease in the personnel required to execute the required Army AWF duties.

DCAA also identified significant risk with respect to "Sufficient Staffing Levels for Critical Acquisition Positions" and moderate risk for "Succession Readiness of Qualified Workforce for Key Positions."

In addition, DCMA noted moderate or moderate/high risk in almost every category, and moderate/high for "Succession Readiness of Qualified Workforce for Key Positions" for Industrial and Contract Property Management (Property) personnel.

Table 18. CAE AWF Risk Assessments

Acquisition Workforce Risk Assessment Matrix	Risk Factors				
	CAE Overall Assessment	Sufficient Staffing Levels for Critical Acquisition Positions	Availability of Experienced, Skilled Workforce for Critical Acquisition Functions	Ability to Attract, Hire and Retain for Critical Acquisition Functions	Succession Readiness of Qualified Workforce for Key Positions
Army	Significant (-)	Significant	Significant	Significant	Low
DON	Med-Low	DON [CAP] workforce is smallest in DOD; high workload compounded by understaffing and turnover	Long Contracting certification lead time; IT technical expertise loss from outsourcing; training not keeping up with change of technology	High turnover in Contracting; inability to compete with industry for top talent	
Air Force	Moderate	Low	Moderate	Moderate	Low
DCAA	Moderate	Significant	Low	Low	Moderate
DCMA	Acceptable				
DCMA Contracting (includes pricing)	Acceptable	Moderate/High	Moderate	Moderate	Moderate/High
DCMA Property	Acceptable	Low	Low	Moderate	Moderate/High
DLA	Acceptable	Low	Low	Low	Low

Source: April 21, 2016 Senior Steering Board Briefing.

Observation 14: *USD(AT&L) AWF risk review identified key issues not reflected in the fiscally constrained PB23 Exhibit forecasts. The Army SAE noted significant risk in almost every category.*

Recommendation 14: *AT&L continue to request CAE risk assessments, but expand to all Components. Brief results to Service Secretaries and Chiefs and, as appropriate, Defense agency heads prior to Service/agency POM submission to OSD.*

Observation 15: *There is not currently a standardized DOD risk-analysis process for identifying, classifying, and mitigating workforce risks.*

Recommendation 15: *The WMG work with the Components to establish a DOD AWF risk-analysis process.*

4.5 Balancing AWF Requirements, Funding, and Risk

As described above, the Components' PB23 budget exhibits are important planning documents for DOD to identify AWF staffing levels, by Component and career field, that will be funded to meet its acquisition responsibilities over the FYDP. These PB23 submissions appear to be one of the few places where the PPBE and human capital planning processes intersect at AWF requirements, funding, and human resources. These exhibits are usually developed at lower levels in the organizations and submitted at certain intervals during the budget process. The most important value of these exhibits, however, is that they uniquely link the budget with the acquisition planning. We believe the value of this important exhibit can be increased even further if it is coordinated and signed by the CAE, responsible programmer (e.g. Office of the Chief of Naval Operations (OPNAV) N8, Air Force A8, etc.), and the responsible comptroller. As part of this coordination process, AWF requirements, PB23 funding, and resulting risk would all be reviewed. This approach would have a strong stabilizing effect on the AWF plan year to year, while ensuring the appropriate level of visibility during the budget development cycle. Funding levels could change throughout the budget cycle, but ongoing coordination will sustain the alignment among the three key executives in "Big 'A'" acquisition regarding AWF funding.

Observation 16: *There is not currently a mechanism that facilitates a shared understanding and commitment regarding AWF funding across the CAE, programmer, and comptroller.*

Recommendation 16: *Components should develop processes that identify overall AWF staffing requirements, compare them with PB23 funding levels, and identify resulting risk. These data would then be coordinated to support the joint signing of the PB23 budget exhibit by the CAE, programmer, and comptroller.*

5. Recruiting

Recruiting is one of the two major "levers" (the other being retention) that DOD has to shape the composition of the AWF in terms of career fields, certification levels, and the distribution of YRE. Recruiting offers DOD the most flexibility in terms of changing career field size, but it must then be coordinated with development efforts to provide the certification levels required.

Recruiting for the Defense AWF includes efforts related to both civilian and military personnel. The contractor and FFRDC personnel supporting acquisition organizations are not discussed, as Component organizations contract with the companies for the number and skills of personnel required, but hiring is done by the non-DOD companies. Recruiting efforts include not only the hiring of personnel new to DOD and acquisition, but also of mid- and senior career individuals from both within and outside of DOD. A key aspect of these recruiting efforts, regardless of career field or YRE point in career, is the need to hire personnel with the skills and abilities necessary to succeed in the AWF.

One additional area of interest related to both recruiting and retention is the concept of "permeability," which refers to the ability of a civilian to transition back and forth between the government and commercial employers. We will discuss this issue in more detail later in this chapter.

5.1 DAWIA Provisions Related to Recruiting

As discussed earlier in this report, DAWIA's intent is to provide for a highly skilled and professional workforce. Several provisions of Title 10, Chapter 87 (DAWIA) relate to recruiting for the AWF:

- **Section 1705. Department of Defense Acquisition Workforce Development Fund**: Funds can be used for recruiting, developing, or retaining AWF personnel. We will address specific recruiting actions using the DAWDF in the next section.
- **Section 1706. Government performance of certain acquisition functions**: Requires DOD and the military departments to "develop and implement a plan of action for recruiting,

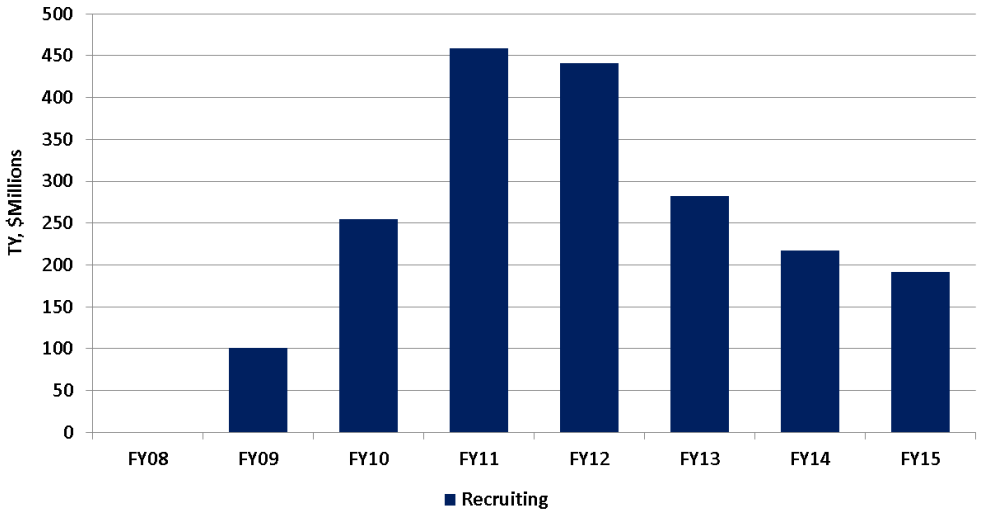
training, and ensuring appropriate career development of military and civilian personnel to achieve the objective" of having properly qualified military and civilian members to serve in 13 key positions in each MDAP and major acquisition information system (MAIS) program.

- **Section 1731. Acquisition Corps in general**: Requires not only that the SECDEF establish a single Acquisition Corps for the DOD, but that it "shall ensure that the qualifications of commissioned officers selected for the Acquisition Corps are such that those officers are expected, as a group, to be promoted at or above the average for the line of the Service.

5.2 DAWDF Efforts Related to Recruiting

DAWDF funding has been invaluable in DOD recruiting efforts, particularly for the AWF increases seen from FY2009 to FY2012. DAWDF funds were used for a variety of purposes, from hiring incentives and establishment of entry-level personnel programs to funding the salaries of DAWDF-hired employees for their first two or three years, depending on career field. Figure 45 shows the funding identified in DOD's DAWDF Annual Reports to Congress for AWF recruiting efforts, which represent 63 percent of all DAWDF funding obligated from FY2008 to FY2015.

Figure 45. DAWDF Funds Identified for Recruiting Initiatives, by FY of Obligation



Source: DAWDF Annual Reports to Congress for FY2008 to FY2015.

From FY2009 to FY2015, the DAWDF funded approximately 10,200 hires to rebuild workforce capacity, with special emphasis on rebuilding critical acquisition functions such as engineering and contracting. DAWDF funds have also been used to "reshape" the YRE distribution for the workforce, to achieve better balance among future, mid-, and senior career groups.

5.3 Defense AWF Hiring

Based largely on concerns expressed by DOD on being able to competitively access personnel into the AWF, Congress has permitted DOD to exercise two special authorities that permit exceptions to standard government civilian hiring processes: Expedited Hiring Authority (EHA) and, in some special cases, Direct Hiring Authority (DHA).

Expedited Hiring Authority

DOD's EHA allows military departments to appoint highly qualified people to positions in career fields identified as having a shortage of available job candidates. Under EHA, personnel managers can choose to bypass some or all of the standard job posting and candidate evaluation systems, reducing the time needed to assemble a group of job candidates, review their credentials, select a candidate, and make a tentative job offer [34]. The enabling memorandum defines "highly qualified" individuals eligible for EHA as those who meet minimum and selective position requirements and placement factors, successfully undergo a documented assessment of their experience and competencies, and meet (or will meet within a required timeframe) DAWIA certification requirements. AWF EHA was initially authorized by the FY2009 NDAA, with authorization extended incrementally in subsequent legislation to 2017, and its status changed from temporary to permanent by the FY2016 NDAA.

Direct Hiring Authority

Section 342(b) of the FY1995 NDAA, as amended by section 1109 of the FY2000 NDAA, and section 1114 of the FY2001 NDAA, authorizes the Secretary of Defense to conduct personnel demonstration projects at DOD facilities designated as Science and Technology Reinvention Laboratories (STRLs). Section 1105 of the FY2010 NDAA designates the organizations that qualify as STRLs for the DHA demonstration

project,[3] which includes the authority to use DHA to access scientists and engineers with advanced degrees for scientific and engineering positions in the designated organizations. Section 1107 of the FY2014 NDAA identified specific authorities for the director of any STRL to make direct appointments (with specified maximum percentages) for scientific and engineering positions at any STRL or research and engineering (R&E) facility. These appointments may be temporary, term, or permanent in nature, and limited as to maximum numbers based on percentages of the force. This authority also allows the director of any STRL to directly appoint qualified veterans into scientific, technical, engineering, and mathematics (STEM) positions.

Section 1104 of the FY2016 NDAA modifies section 1107 of the FY2014 NDAA, allowing for the "noncompetitive conversion to permanent appointment" with respect to any student appointed by the director of an STRL under the previous authorities to a temporary or term appointment upon graduation from the applicable institution of higher education.

Pilot Programs in FY2016 NDAA

In addition to the authorities above, the NDAA for FY2016 adds two new AWF categories where DHA may be used:

- **Section 1112. Pilot Program on Direct Hire Authority for Veteran Technical Experts into the Defense Acquisition Workforce**: Permits SECDEF to carry out a pilot program to assess the feasibility and advisability of appointing qualified veteran candidates to STEM positions in the defense acquisition workforce of the military departments. Authority is limited, in any calendar year, to a maximum of 1 percent of the AWF for each military department.

- **Section 1113. Direct Hire Authority for Technical Experts into the Defense Acquisition Workforce**: Permits the Secretary of each military department to appoint qualified candidates possessing a scientific or engineering degree to science and engineering (S&E) positions in that department—up to 5 percent of the total number of S&E positions within the acquisition workforce of that military department.

[3] Summarized from Federal Register Notice 76 (FR 8529), dated February 14, 2011, https://www.federalregister.gov/documents/2011/02/14/2011-3094/science-and-technology-reinvention-laboratory-strl-personnel-management-demonstration-project.

5.4 Factors affecting Recruiting

Statute and Policies Regarding Personnel

Legislation on the size of the Defense AWF changed markedly from the mid-1990s through FY2015. The following list identifies particular legislation, by FY of the NDAA, that either directly or indirectly affected AWF:

- FY1996 – Required plan to cut Defense AWF by 25% from FY1995 to FY1999
- FY1998 – Required reduction of Defense AWF of 10,000–25,000
- FY1999 – Clarifies Defense AWF reduction to 12,500–25,000 from number in AWF on October 1, 1998
- FY2004 – Directs Defense AWF freeze
- FY2004 – Establishes AWF Recruitment Program for shortage category personnel
- FY2008 – Establishment of DOD AWF Development Fund (DAWDF)
- FY2009 – Adds Expedited Hiring Authority (EHA) to DAWDF
- FY2011 – AWF Excellence: develop and manage professional AWF
- FY2013 – DOD civilian workforce reductions
    - AWF personnel are noted as an excepted category
- FY2014 – Streamlining DOD management headquarters.

Termination of Federal Civilian Intern Program (FCIP)

FCIP was established by President Clinton in Executive Order 13162 in 2000 "to attract exceptional men and women to the federal workforce who have diverse professional experiences, academic training, and competencies, and to prepare them for careers in analyzing and implementing public programs." FCIP allowed government departments and agencies to hire interns to positions under Schedule B of excepted service.

In November 2010, the Merit System Protection Board (MSPB) found that "FCIP violates the rights of preference-eligible veterans under 5 U.S.C. §3302(1) because it does not require agencies to justify placement of positions in the excepted service as required by section 3302(1)." Based on this finding, the President issued Executive Order 13562, "Recruiting and Hiring Students and Recent Graduates," which revoked the FCIP program and tasked OPM to develop and implement a new entry-level personnel program, known as "Pathways."

The short timeline with respect to cancellation of FCIP, coupled with growing pains in implementing the new Pathways program, impacted DOD's ability for all civilian hiring from academic institutions.

Differences in Implementation

HCI and the DACMs noted that although USD(AT&L) and USD(P&R) have issued overarching guidance regarding implementation of legislation and policy, there continue to be differences in implementation across the Components. These differences are predominantly in two areas: how the Components have individually interpreted the guidance, and how they have implemented their processes. The establishment of the Acquisition/HR Summits, co-chaired by DASD(CPP) and the HCI Director, were implemented in 2015 to specifically address each of these issues.

With respect to interpretation, we were told that, in many cases, individual Component General Counsels (GCs) have applied differing levels of restrictions on use of authorities. As a result, the implementation of specific authorities (e.g., EHA, DAWDF, etc.) can vary among Components.

Implementation differences related to process were noted within both the acquisition and HR communities. The Acquisition/HR Summits provide a common forum for identifying these issues, documenting best practices, and pursuing solutions. The fielding of a Civilian Hiring Manager's Toolkit and the identification of lessons learned regarding successful techniques in recruiting, developing, and retaining AWF civilians are two examples of how these summits are helping to address this area, but work remains to be done.

Geographic Location

AWF personnel are assigned to locations across the United States that vary in the number and skills available in the local population. While military can be assigned easily to various locations, they represent only 4 percent of the AWF. Civilian employees are typically less inclined to move among locations, so having an excess of AWF personnel at one location does not usually help in meeting shortfalls at another location experiencing shortfalls. However, in geographic areas where there

are a number of AWF-related organizations and positions (e.g., Washington DC or Wright-Patterson AFB, Ohio), there are greater opportunities for the transferring of civilian personnel.

5.5 Metrics for Recruiting

In assessing whether recruiting efforts are having a positive effect on the composition and quality of the AWF, we believe there are several useful metrics. In the following sections, we review changes with respect to education levels and AWF force shaping that are a result of recent efforts.

Education Levels

Table 19 shows the percentage (in FY2015) of AWF members, by career field, who earned bachelor's or postgraduate degrees based on the highest degree earned.

Table 19. Education Level of AWF Members, by Career Field, FY2015

Career Field	Highest Degree Level				**Percent with Bachelor's+**
	Bachelor's		Graduate		
	No.	Pct	No.	Pct	
Auditing	2,483	58%	1,766	41%	99%
Business	3,174	42%	2,818	37%	79%
Cost Estimating	*623*	*46%*	*699*	*52%*	*98%*
Financial Management	*2,551*	*41%*	*2,119*	*34%*	*75%*
Contracting	13,998	46%	12,704	42%	88%
Engineering	23,272	57%	17,331	42%	99%
Facilities Engineering	3,381	51%	1,876	28%	79%
Information Technology	2,511	39%	1,636	26%	65%
Life Cycle Logistics	6,926	36%	5,080	26%	62%
Production, Quality, and Mfg	2,733	28%	1,715	17%	45%
Program Management	5,044	30%	9,329	56%	86%
Industrial and Contract Property Mgmt	136	34%	56	14%	48%
Purchasing	282	21%	54	4%	25%
Science & Technology Manager	768	21%	2,885	78%	99%
Test and Evaluation	4,606	53%	3,756	43%	96%
Total	**69,485**	44%	**61,177**	39%	83%

Source: Defense Acquisition Workforce Key Information, as of FY15Q4.

The overall level of AWF personnel with at least a bachelor's degree has continued to grow, increasing from 77 percent in FY2008 to 83 percent in FY2015. In the same period, the percentage of AWF personnel who have earned a graduate degree or higher has increased from 29 percent in FY2008 to 39 percent in FY2015.

Although the overall average for AWF personnel having a bachelor's degree is 84 percent, the percentages range from 25 percent (Purchasing) to 99 percent (Engineering). These percentages reflect that required education levels vary considerably by career field. More than half of the workforce in Program Management, S&T Manager, and Business–Cost Estimating held advanced degrees. In Purchasing, Production Quality and Manufacturing, and Industrial and Contract Property Management, on the other hand, more than half of the workforce held less than a bachelor's degree.

Civilian Force Shaping

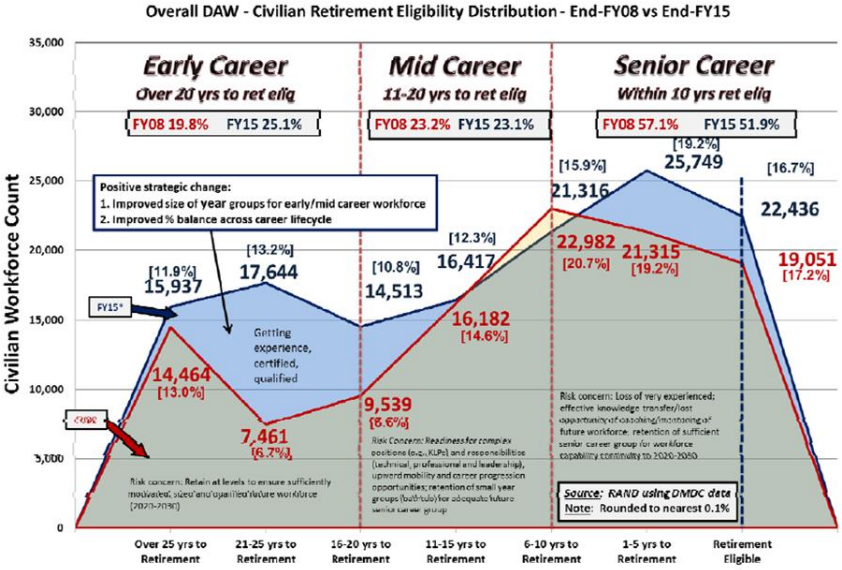
Force shaping in the federal government is more complicated than in commercial industry, and the specialized AWF training and certification requirements make it even more beneficial to retain personnel from apprentice through journeyman and master. Personnel levels then create a tension in maintaining the proper balance between new and more senior employees. Thanks to congressional support for increased AWF staffing levels and the establishment of the DAWDF, however, DOD has been able to grow the AWF and to begin changing the distribution of the AWF to increase the number of personnel in the early (future) and mid-career groups.

Civilian AWF Years to Retirement Eligibility (YRE) Distribution

Figure 46 shows a comparison of the distributions of civilian AWF members, in terms of YRE, between FY2008 and FY2015. As shown, AWF reductions and hiring freezes prior to FY2008 resulted in an AWF that was weighted toward personnel within 15 years of retirement (71.7 percent). By FY2015, this decreased to 64.2 percent, with the percentage of personnel in the early career phase experiencing an increase from 19.8 percent to 25.1 percent.

In addition, recruiting efforts that targeted mid- and senior career recruits provided a more balanced distribution that avoided the "bathtub" that would have resulted if efforts had focused only on the hiring of early career personnel.

Figure 46. Overall Civilian AWF by YRE, FY2008 vs. FY2015



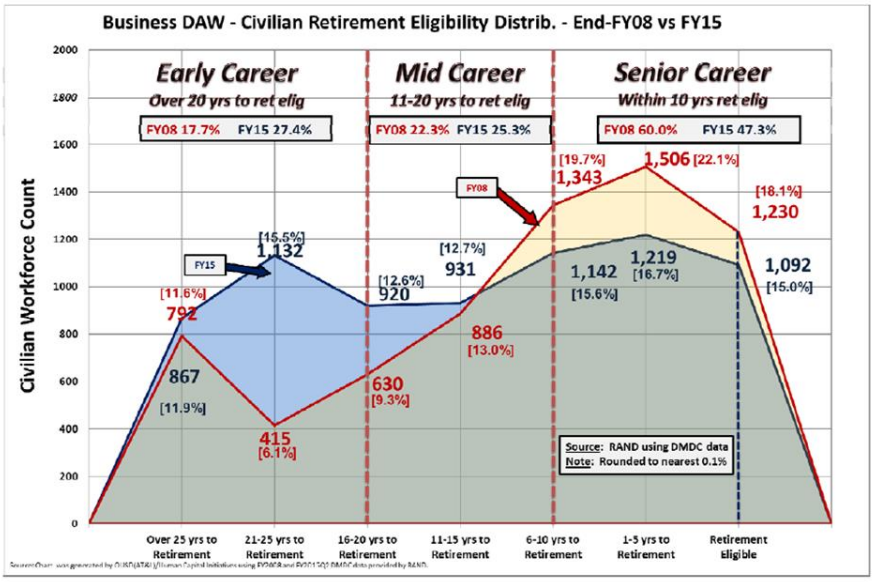
Source: Defense Acquisition Workforce Key Information: Overall, as of FY15Q4, http://www.hci.mil/data_archives.html.

AWF distributions, however, vary greatly depending on career field. The next several figures provide examples of this variance. All of these figures are taken from the HCI public website, which contains detailed quarterly briefings for each of the AWF career fields (with the exception of Small Business, which was recently added) as well as for the overall Defense AWF.

In Figure 47, we see that the YRE distribution for civilian personnel in the Business career field was significantly rebalanced, decreasing the percentage of personnel in the senior career phase, while increasing in both early and mid-career phases.

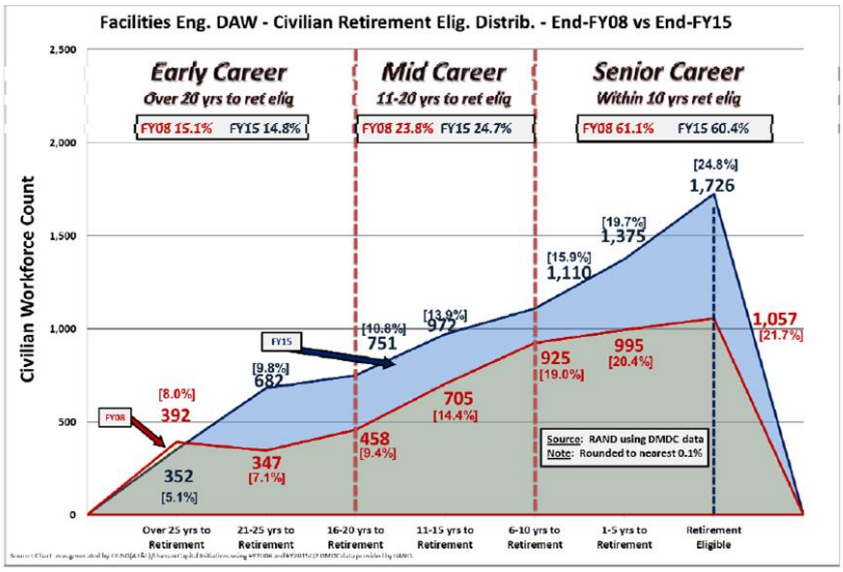
Figures 48–50 show similar figures for the Facilities Engineering, Life Cycle Logistics, and Program Management career fields, which have the highest percentage of personnel in the senior career category. These figures show that, although similar increases occurred in the early and mid-career phases, approximately 60 percent of each of these career fields are still in the senior career phase. Thus we note that although DOD's efforts have begun to improve the distribution of YRE for the AWF, continuing these efforts will be essential in getting to the proper balance across all career phases.

Figure 47. Civilian Business AWF, by YRE, FY2008 vs. FY2015



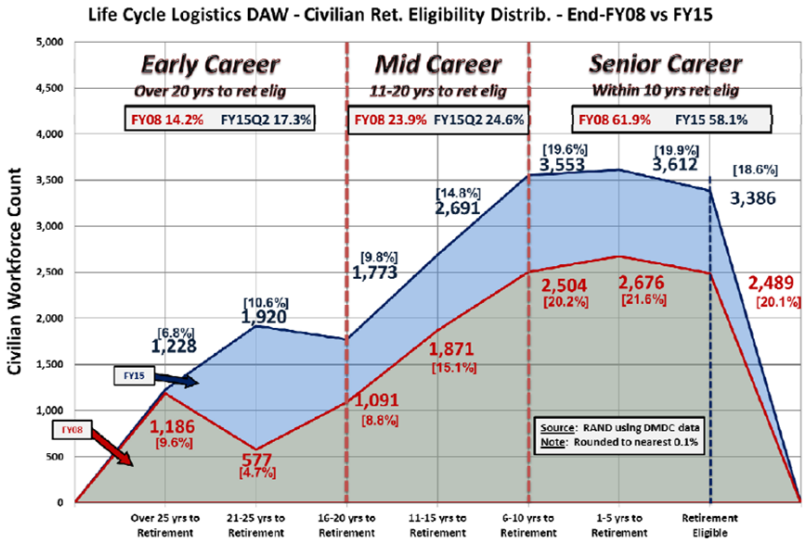
Source: Defense Acquisition Workforce Key Information: Overall, as of FY15Q4, http://www.hci.mil/data_archives.html.

Figure 48. Civilian Facilities Engineering AWF, by YRE, FY2008 vs. FY2015



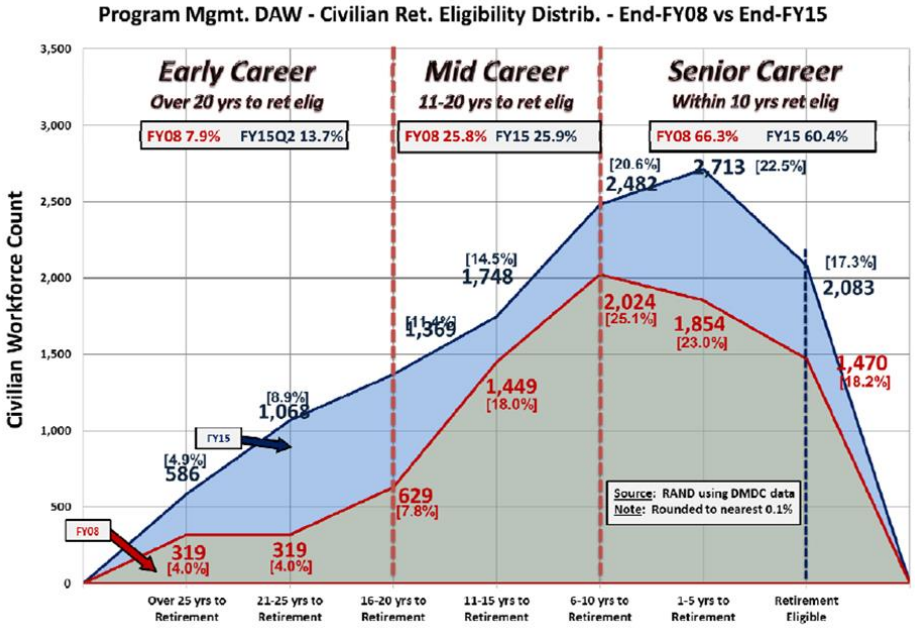
Source: Defense Acquisition Workforce Key Information, as of FY15Q4, http://www.hci.mil/data_archives.html.

Figure 49. Overall Civilian AWF by YRE, FY2008 vs. FY2015



Source: Defense Acquisition Workforce Key Information, as of FY15Q4, http://www.hci.mil/data_archives.html.

Figure 50. Overall Civilian AWF by YRE, FY2008 vs. FY2015



Source: Defense Acquisition Workforce Key Information, as of FY15Q4, http://www.hci.mil/data_archives.html.

Table 20 shows the distribution of the DOD civilian AWF by career field, as measured by the number of years until the individual is eligible for retirement, in FY2008 and FY2015.

Table 20. Distribution of Defense Civilian AWF by Stage of Career, FY2008 vs. FY2015

Career Field	Retirement Eligibility Distribution					
	FY2008			FY2015		
	Early Career (20+)	Mid-Career (11-20)	Senior Career (10/less)	Early Career (20+)	Mid-Career (11-20)	Senior Career (10/less)
Auditing	36%	21%	43%	38%	23%	39%
BCFM	18%	22%	60%	27%	25%	47%
Contracting	21%	22%	58%	29%	25%	46%
Engineering	27%	24%	49%	33%	20%	46%
Facilities Engineering	15%	24%	61%	15%	25%	60%
Information Technology	13%	26%	61%	18%	31%	52%
Life Cycle Logistics	14%	24%	62%	17%	25%	58%
Production, Quality, and Mfg	10%	19%	71%	14%	25%	60%
Program Management	8%	26%	66%	14%	26%	60%
Industrial/Contract Property Mgt	4%	12%	84%	15%	20%	65%
Purchasing	7%	23%	69%	18%	26%	56%
Science & Technology Manager	13%	27%	61%	28%	21%	51%
Test and Evaluation	30%	25%	46%	32%	20%	48%
Total	**20%**	**23%**	**57%**	**25%**	**23%**	**52%**

Source: Defense Acquisition Workforce Key Information, as of FY15Q4.

In FY2008, 57 percent of the Defense AWF was at the senior career stage, with less than 10 years until eligibility for retirement. By FY2014, that figure had been reduced by 5 percentage points to 52 percent, while the proportion of the AWF in the early career stage (with 20 or more years until retirement) had increased from 20 to 25 percent. This is a significant step forward in shaping the civilian AWF to a more balanced distribution. Career fields including Industrial and Contract Property Management, Facilities Engineering, Production Quality and Manufacturing, and Purchasing still have over 60 percent of their AWF membership at the senior career stage.

Stage of Career and Workforce Turnover

In the previous figures, we provided graphics to illustrate how the shape of the civilian AWF YRE distribution has changed from FY2008 to FY2015. In this section, we provide more detailed information on the career phase distribution (based on YRE) for each of the AWF career fields, along with a summary table of turnover rates.

Table 21 shows the workforce turnover rate for civilian members of the Defense AWF in FY2015. Notably, turnover rates are 10 percent or less for most career field phases, with the notable outlier being the Purchasing career field.

Table 21. Defense Civilian AWF Turnover Rate, by Career Field, FY2015

Career Field	**Workforce Turnover Rate (Civilians) FY2015**			
	Early Career	Mid-Career	Senior Career	Total
Auditing	9%	9%	10%	9%
Business	10%	8%	11%	10%
Contracting	7%	7%	11%	8%
Engineering	6%	3%	6%	5%
Facilities Engineering	14%	9%	12%	12%
Industrial and Contract Property Mgt	6%	5%	14%	11%
Information Technology	13%	9%	9%	10%
Life Cycle Logistics	8%	7%	9%	8%
Production, Quality, and Manufacturing	10%	8%	10%	9%
Program Management	11%	7%	9%	9%
Purchasing	35%	22%	18%	22%
Science & Technology Mgr	4%	5%	5%	5%
Test and Evaluation	9%	5%	7%	7%
Total	**6%**	**5%**	**8%**	**7%**

Source: Defense Acquisition Workforce Key Information, as of FY15Q4, http://www.hci.mil/data_archives.html.

Overall, the Defense AWF turned over at a 7-percent rate in FY2015, with the highest turnover rates by stage of career at the senior career stage, followed by the early career stage. Among career fields, the Purchasing career field has the highest workforce turnover rate at 20 percent, with a particularly high turnover rate for personnel in both the early (35 percent) and mid-career (22 percent) stages. The next highest turnover rate (14 percent) is seen for Facilities Engineering (early career) and

Industrial and Contract Property Management (senior career), with Information Technology being at 13 percent for the early career stage.

6. Training and Development

> *The Department must responsibly sustain the acquisition workforce size modulated by workload demand and requirements; ensure its personnel continue to increase their professionalism by helping them obtain training, education, and experience they need to be effective; and continue to expand talent management programs to include recruitment, hiring, training, development, recognition and retention initiatives by using the DAWDF and other appropriate tools.*
>
> ***USD(AT&L) Frank Kendall***
> ***November 2016***

Training and development are the most complex and comprehensive of the responsibilities regarding the oversight and management of the AWF. There are a large number of both statutory and regulatory requirements that mandate the tracking and, in some cases, reporting of training, education, certification, and qualification for over 150,000 acquisition professionals.

USD(AT&L), HCI, and the Components have undertaken a number of initiatives to improve training capabilities, development opportunities, experience criteria and tracking, and qualification standards for KLPs. These efforts have, for the most part, been supported through resources made available through the DAWDF. The following sections provide additional details on these efforts and review metrics related to their effects on the AWF.

6.1 DAWIA Provisions Related to Training and Development

Both Congress and DOD have placed increasing emphasis on the training and development of the AWF. DAWIA legislation on these areas has evolved over time, and several new sections have been added that provide more specific details regarding expectations for development, qualifications, and management. DAWIA sections that specifically address training and development include the following:

- **Section 1701a. Management for acquisition workforce excellence**: Requires DOD to "develop and manage a highly skilled professional acquisition workforce—

(1) in which excellence and contribution to mission is rewarded;
(2) which has the technical expertise and business skills to ensure the Department receives the best value for the expenditure of public resources;
(3) which serves as a model for performance management of employees of the Department; and
(4) which is managed in a manner that complements and reinforces the management of the defense acquisition system."

- **Section 1722. Career development**: Requires SECDEF, through USD(AT&L), to "ensure that appropriate career paths for civilian and military personnel who wish to pursue careers in acquisition are identified in terms of the education, training, experience, and assignments necessary for career progression of civilians and members of the armed forces."

- **Section 1722a. Special requirements for military personnel in the acquisition field**: Requires each Service Secretary and Chief to collaborate with USD(AT&L) and other Components to ensure proper development, assignment, and employment of military AWF members. Outlines requirement for development of both a single-track and a double-track career path, and expectations for command and general/flag officer positions.

- **Section 1722b. Special requirements for civilian employees in the acquisition field**: Requires SECDEF, acting through USD(AT&L), to ensure the proper development, assignment, and employment of civilian AWF members, to include defined career paths, a deliberate workforce development strategy, and sufficient opportunities for promotion and advancement.

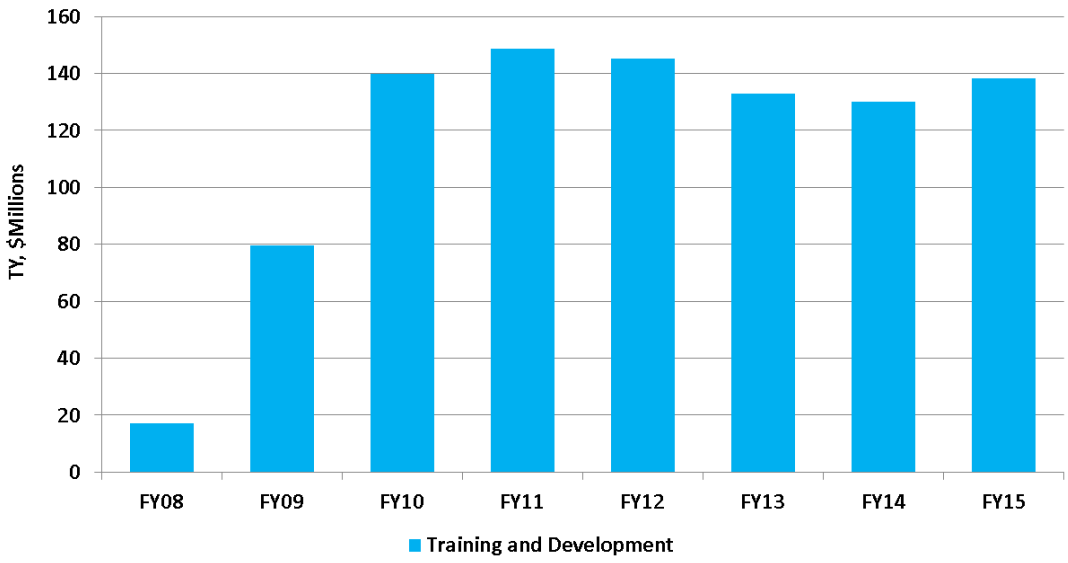
- **Section 1723. General education, training, and experience requirements**: Requires SECDEF to establish education, training, and experience requirements for each acquisition position, based on the level of complexity of duties carried out in the position. In establishing such requirements, the Secretary shall ensure the availability and sufficiency of training in all areas of acquisition, including additional training courses with an emphasis on services contracting, market research strategies (including assessments of local contracting capabilities), long-term sustainment strategies, information technology, and rapid acquisition.

- **Section 1724. Contracting positions: qualification requirements**: Identifies specific criteria that SECDEF must require for any individual to qualify to serve as a contracting officer with authority to award or administer contracts for amounts above the simplified acquisition threshold referred to in section 2304(g) of [Title 10, U.S.C.].

6.2 DAWDF Development Initiatives

As with retention, DAWDF funds have permitted DOD to undertake a number of initiatives to improve development. Figure 51 shows funding identified in DOD's DAWDF Annual Reports to Congress that was obligated for AWF training and development efforts. This represents approximately 30 percent of all DAWDF funding obligated from FY2008 to FY2015.

Figure 51. DAWDF Funds Identified for Training and Development Initiatives, by FY of Obligation



Source: DAWDF Annual Reports to Congress for FY2008 to FY2015.

DAWDF obligations for training and development ramped up from FY2008 to FY2010, and then have remained fairly constant. These funds have been used for a wide variety of initiatives, from expanding and updating DAU course curricula to implementing force management and development programs to supporting training and fellowship programs outside of DOD. These efforts will be described in more detail in subsequent sections.

6.3 DOD Policy on AWF Education, Training, and Development

DOD Instruction 5000.52 [8] notes that it is DOD policy that:

> 4.1 The primary objective of the Defense AT&L Workforce Education, Training, and Career Development Program is to create a professional, agile, and motivated workforce that consistently makes smart business decisions, acts in an ethical manner, and delivers timely and affordable capabilities to the warfighter…. The Defense AT&L Workforce Education, Training, and Career Development Program shall provide:
>
> 4.1.1. An integrated management approach of centralized policies and procedures and decentralized execution.
>
> 4.1.2. Strategic AT&L Workforce planning to achieve the goals of the Department of Defense.
>
> 4.1.3. A management information system capable of providing standardized information to the Secretary of Defense on persons serving in acquisition positions.
>
> 4.1.4. A career model for workforce members in planning career development and progression.
>
> 4.1.5. An AT&L Performance Learning Model that shall facilitate attainment of competencies through education, training, and experience requirements established for entry-level positions through Key Leadership Positions (KLPs) in the AT&L Workforce.
>
> 4.1.6. Career development programs, including the education and training programs required by Subchapter IV of reference (b) [Chapter 87, Title 10 U.S.C.]. These include internship; cooperative education; scholarship; tuition reimbursement and training; authority to repay all or part of a student loan; a Defense Acquisition University (DAU) structure; an acquisition fellowship program; centralized job referral; and exchange program(s) for persons occupying Critical Acquisition Positions (CAPs).

6.4 Training

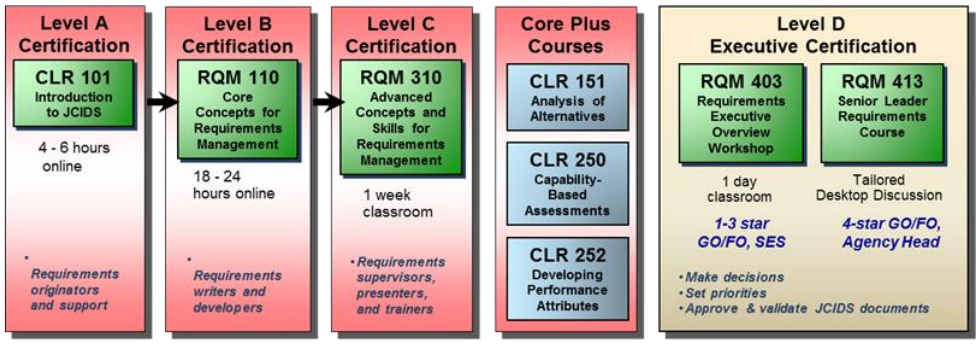
DAU has undertaken a large number of initiatives to expand and improve availability and quality of acquisition training that were made possible by DAWDF funding. The DFAS 1002 Report identifies $777 million of DAWDF funding, from FY2009 and FY2015, for DAU. The majority of these funds (94 percent) were for efforts related to Training and Recruiting ($420 million) and Training Enhancement and Capacity Expansion ($327 million). There is also an additional $121 million that is identified

jointly for DAU and several of the smaller Components (e.g., DAU-Defense Commissary Agency (DAU-DeCA), DAU-Defense Intelligence Agency (DAU-DIA), etc.). The majority of this funding (95 percent) is reported against four categories: Student Travel ($40 million), Training Enhancement and Capacity Expansion ($39 million), Intern Programs ($18 million), and Journeymen Hiring ($18 million).

DAWDF funds were used to expand the capacity of the DAU in terms of both classroom and distance-learning courses. They also funded improvements to DAU's training curriculum; updating course content to incorporate changes due to legislation, policies, and BBP initiatives; and developing new courses for both the classroom and for web-based training. Major initiatives implemented include:

- Developed and implemented a new course, Understanding Industry (ACQ 315), to instruct AWF members on commercial industry's perspectives, business models, and driving forces
- Developed curriculum related to training personnel responsible for operational requirements definition, to fulfill requirement from section 801 of the NDAA for 2007 (Figure 52)

Figure 52. DAU Requirements Management Curriculum Overview



Source: DAU Overview Briefing to CNA, April 8, 2016.
Note: CLR – Continuous Learning, Requirements Management; RQM – Requirements Management.

- Implemented series of new courses to provide foundational learning on the acquisition of services, in support of requirements from section 807 of the NDAA for FY2012
- Developed and implemented a cybersecurity curriculum
- Partnered with DCMA to stand up a College of Contract Management, to design and develop DCMA-defined training

- Developed and implemented an online Services Acquisition Mall, which personnel can access to find information on services type contracts through categories-based templates, tools, and videos
- Stood up a new DAU data center at Fort Belvoir, Virginia, to support an increase in online courses and students, and to provide centralized data support to DAU regions
- Increased number and capabilities of DAU classrooms and breakout rooms.

Table 22. Comparison of DAU facilities in FY2008 to FY2015

Region	Classrooms			Breakout Rooms		
	FY08	FY15	Delta	FY08	FY15	Delta
West	5	16	+11	9	28	+19
Mid-Atlantic	8	11	+3	12	25	+13
Midwest	11	16	+5	12	36	+24
Capital & NE	15	23	+8	5	33	+28
South	10	15	+5	12	25	+13
DSMC	5	5	00	4	16	+12
Total	**54**	**85**	**+31**	**54**	**163**	**+109**

Source: DAU Briefing for CNA, April 21, 2016.

Training Priority Levels

DAU identifies an individual's priority for training based on five priority levels:

- Priority 1 – Training needed to attain the appropriate DAWIA certification level for the AWF position they currently occupy
- Priority 2 – Training for AWF personnel needed for them to earn a higher level of certification than is needed for the AWF position they currently occupy
- Priority 3 – AWF personnel certified at Level III who are seeking additional training
- Priority 4 – Other DOD personnel seeking acquisition training

- Priority 9 – Federal civilians from non-DOD agencies or industry seeking acquisition training.

These priorities are used to support decisions on students assigned to each residence course offering.

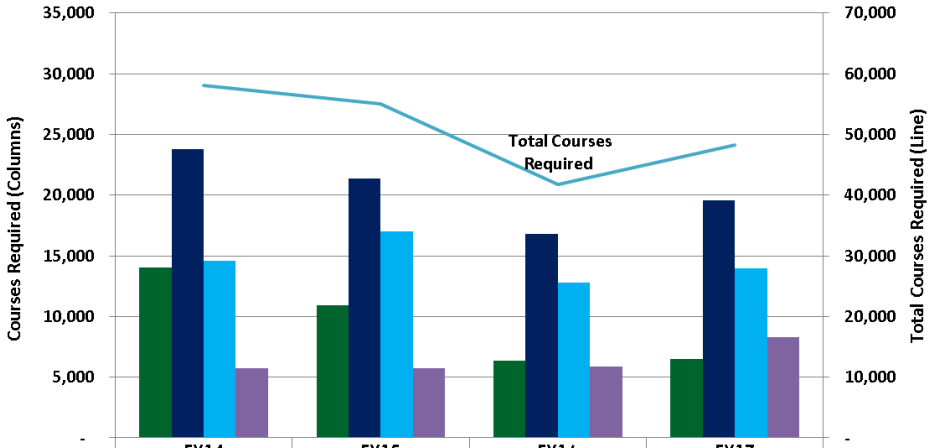
Identification of Training Requirements

Discussions with DAU and the DACMs indicated that each year there are large differences between initial Component training requests and the actual number and composition of course attendees. This can result in courses being cancelled due to too few students or to non-availability of courses because requirements were not in initial requests. DACMs indicated that the DAU data call occurred nine months prior to the start of the next fiscal year, in order to allow time to coordinate schedules, classrooms, and instructors, but that it was difficult for the Components to accurately forecast requirements for courses that would occur 9 to 21 months in the future. DAU is currently working with the RAND Corporation to perform an assessment of current processes and identify actions to improve this process.

DAU Demand Management Tool

In order to better understand the size and composition of AWF training needs, DAU has developed a Demand Management Tool (DMT). While the next fiscal year's course requirements are based on the Components' training forecasts, DAU wanted a tool to understand the training required to certify personnel for its current positions, which is helpful in evaluating the Component requirements. DMT uses data for each AWF member and their current position's certification requirements, along with their database of courses completed, to identify Priority 1 and 2 training requirements, down to the specific courses required and each individual's state of assignment. Figure 53 shows DMT-forecast Priority 1 training requirements from FY2014 to FY2017. Increased training requirements for the DON, Air Force, and Fourth Estate resulted in an increased level of training requirements in FY2017.

Figure 53. DMT Calculated Priority 1 and 2 Training Requirements



	FY14	FY15	FY16	FY17
Army	14,013	10,936	6,352	6,474
DON	23,784	21,393	16,791	19,573
Air Force	14,572	17,039	12,815	13,983
4th Estate	5,703	5,725	5,857	8,291
Total	58,072	55,093	41,815	48,321

Source: DAU-provided DMT Spreadsheet.

Training Availability

Using DAWDF funds, DAU has been able to increase training opportunities, both in the classroom and through the Internet. It has also increased the number and subject areas for CL and for DAU outreach through consulting and workshops. Table 23 shows a comparison of these categories from FY2008 against FY2015.

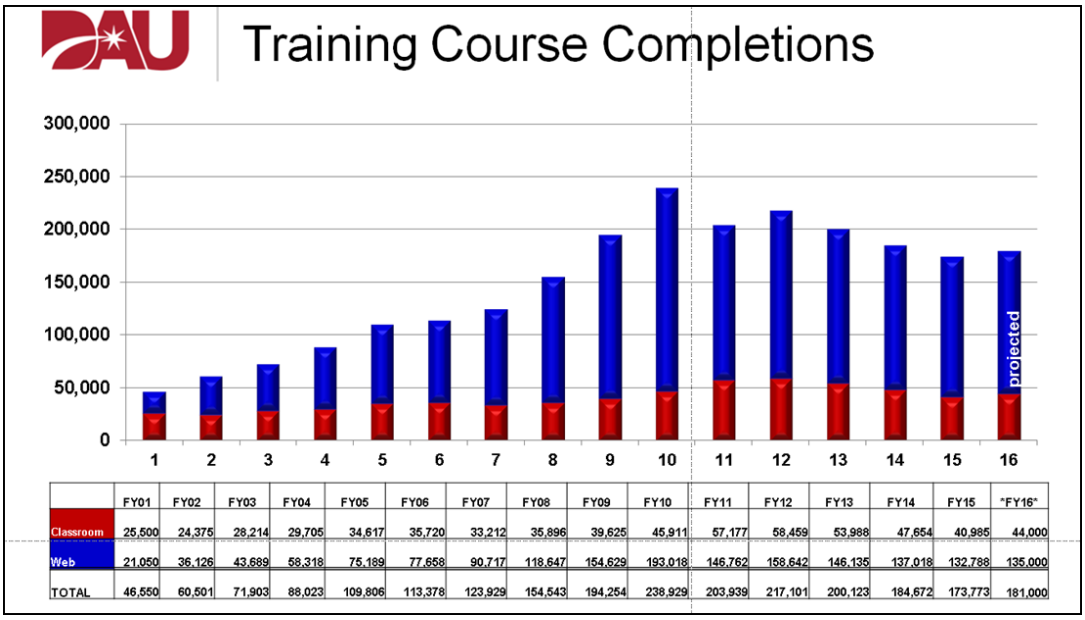
Table 23. Comparison of DAU efforts in FY2008 vs. FY2015

	FY08	FY15	Delta
Training Courses Offered	101	137	+36
Available Seats	38,036	52,665	+14,635
CL Modules	248	310	+62
Consulting Events and Workshops	376	520	+144

Source: DAU Briefing for CNA, April 21, 2016.

Figure 54 shows actual DAU course completions from FY2001 to FY2015, with a projection for FY2016. The figure clearly shows the results of efforts to increase online training, which is forecast in FY2016 to have more than three times the number of classroom course completions. Classroom completions increased steadily through FY2012, when they reached their maximum of 58,459 completions, but have since decreased, with an estimate of 44,000 completions for FY2016. This decrease aligns with the decreased Priority 1 and 2 training requirement estimates shown in Figure 53.

Figure 54. DAU Training Course Completions, FY2001 to FY2016 (projected)



	FY01	FY02	FY03	FY04	FY05	FY06	FY07	FY08	FY09	FY10	FY11	FY12	FY13	FY14	FY15	"FY16"
Classroom	25,500	24,375	28,214	29,705	34,617	35,720	33,212	35,896	39,625	45,911	57,177	58,459	53,988	47,654	40,985	44,000
Web	21,050	36,126	43,689	58,318	75,189	77,658	90,717	118,647	154,629	193,018	146,762	158,642	146,135	137,018	132,788	135,000
TOTAL	46,550	60,501	71,903	88,023	109,806	113,378	123,929	154,543	194,254	238,929	203,939	217,101	200,123	184,672	173,773	181,000

Source: DAU Overview Briefing to CNA, April 8, 2016.

6.5 Experience and Qualifications

The DOD Strategic Plan also called for steps to improve the quality of the workforce. One such initiative involved a reform of the DAWIA certification structure to place greater emphasis on experience and being fully qualified for leadership positions. The Business career field, for example, was restructured into two distinct career paths, one for Cost Estimating and the other for Financial Management, and the required experience to achieve Level III certification was increased to seven and six years, respectively.

Another aspect of DOD's Strategic Plan involved steps to reduce the impact of certification shortfalls as Level II- and Level III-certified employees left the workforce

through recruiting and hiring initiatives, retention strategies, and actions to ensure that entry- and mid-level AWF members achieve qualifications needed to advance to certification Levels II and III. Expanded and upgraded DAU executive and leadership course offerings were also part of the policy mix.

The plan to improve the quality of the AWF included a DOD-wide competency assessment to identify gaps and improve both education and training offerings and human capital planning processes. The goal was to develop validated and up-to-date competency models to define the knowledge, skills, and abilities needed to effectively perform AWF tasks.

The area of acquisition experience as a part of personnel qualification and certification has been a particular area of focus under current USD(AT&L) Frank Kendall. For many years, the experience requirement related to DAWIA certification was based simply on years assigned to a program office or acquisition position, but the HCI office has worked with the FLs for each career field to change the experience requirement to be in an assignment for that career field. For example, time spent in a program office in a Business–Financial Management position cannot be counted toward certification in Life Cycle Logistics. This is a good start, but additional efforts are being pursued to track and manage AWF member experience in a more detailed fashion.

KLP Experience Requirements and Qualification Boards

As part of the BBP initiatives, USD(AT&L) established a goal to "Establish higher standards for key leadership positions." In a November 8, 2013 memo, "Key Leadership Positions and Qualification Criteria" [26], USD(AT&L) provided updated guidance regarding establishment of KLPs, and discussed increased tracking and evaluation of an individual's qualifications with respect to five factors prior to selection for a KLP:

- Education
- Experience
- Cross-functional competencies
  - Executive Leadership
  - Program Execution
  - Technical Management
  - Business Management
- Tenure
- Currency

Some of the main components for these factors were candidates possessing advanced or related college degrees relevant to their functional area; compliance with the continuous learning policy (completion of 80 hours of continuous learning points (CLPs) every two years); and an increase in the requirement for acquisition experience:

> Experience. All KLP candidates must be Level III certified in their respective functional area prior to assignment. A minimum of 8 years of Acquisition experience or equivalent demonstrated proficiency as determined by the selection authority is required. However, for ACAT II Program Managers and ACAT I Deputy Program Managers, 6 years of Acquisition experience is required.

In addition, the memo noted that the USD(AT&L) staff would, working with the Services, establish Joint KLP Qualification Boards to prescreen AWF personnel and qualify a pool of candidates to fill KLPs. To date, KLP Qualification Boards have been held by the Test and Evaluation; Production, Quality, and Manufacturing; and Life Cycle Logistics career fields, and discussions are continuing on whether to implement these boards for additional career fields.

Acquisition Workforce Qualification Initiative (AWQI)

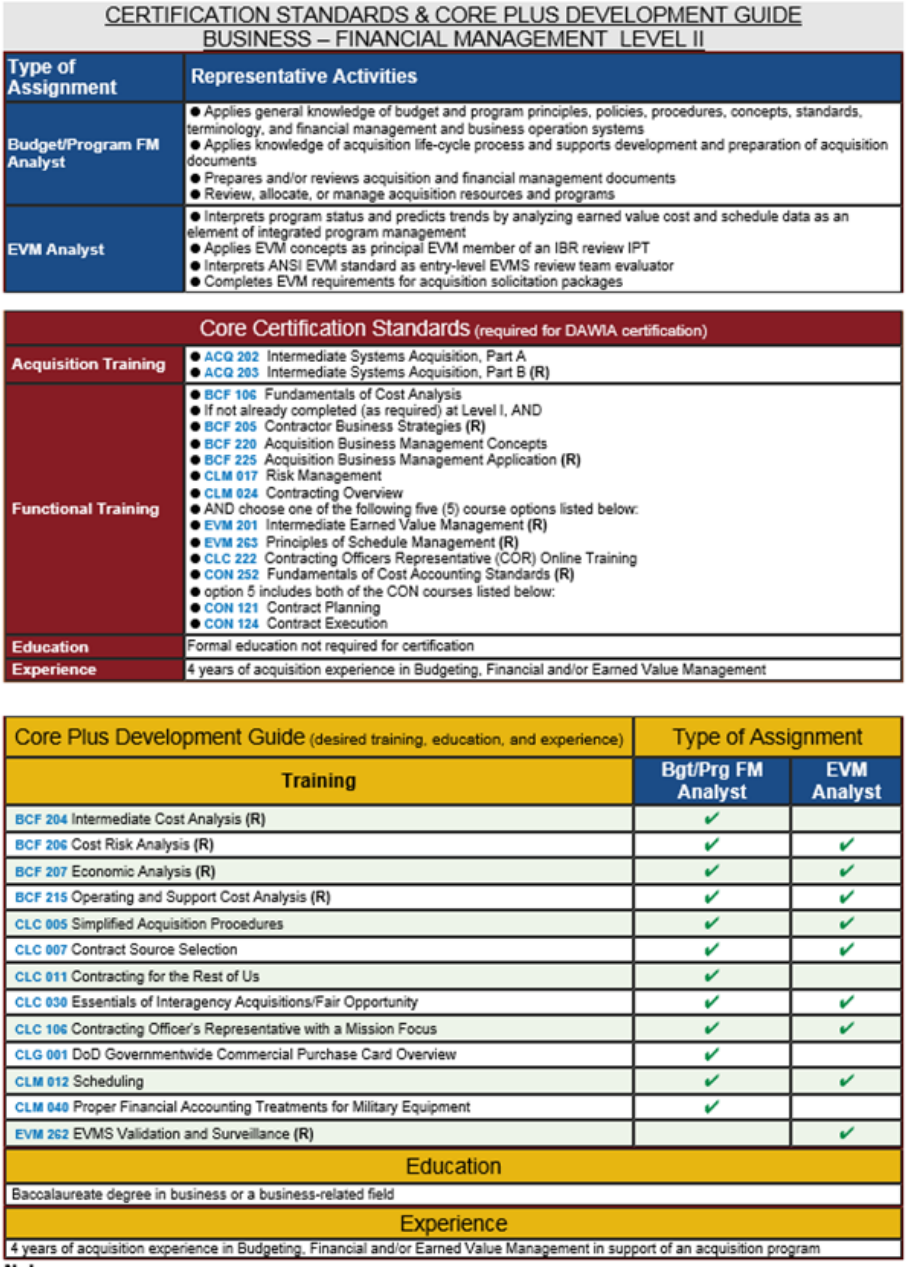
Using DAWDF funds, DAU has developed an Excel-based tool, the AWQI eWorkbook, that includes standardized lists of experience activities, by career field. These activities were developed in conjunction with each of the career field FLs and provide a common tool for use across all Components for developing AWF personnel.

The AWQI eWorkbook is available to all personnel through the AWQI website (http://www.dau.mil/AWQI/default.aspx) and can be tailored by Components, supervisors, or employees to track relevant experiences. The intent is not that each individual should accomplish all experience activities in the eWorkbook, but rather that they should work with their supervisors to identify those experience activities they should pursue in their current position—either to perform their current duties or to prepare themselves for future opportunities.

Core Plus

DAU, working with the FLs, has established a set of Core Plus development recommendations for each career field and DAWIA certification level. These recommendations are in addition to any courses required for DAWIA-level certification and are included on the DAU website pages related to DAWIA certification requirements. Figure 55 provides an example from the DAU website that shows the certification and Core Plus recommendations for the Business–Financial Management career field, for DAWIA Level II. The Core Plus courses are not required, but represent areas that are recommended for individuals at this level of the career field.

Figure 55. Example of Core Plus Development Guide for Business-FM Level II



CERTIFICATION STANDARDS & CORE PLUS DEVELOPMENT GUIDE
BUSINESS – FINANCIAL MANAGEMENT LEVEL II

Type of Assignment	Representative Activities
Budget/Program FM Analyst	● Applies general knowledge of budget and program principles, policies, procedures, concepts, standards, terminology, and financial management and business operation systems ● Applies knowledge of acquisition life-cycle process and supports development and preparation of acquisition documents ● Prepares and/or reviews acquisition and financial management documents ● Review, allocate, or manage acquisition resources and programs
EVM Analyst	● Interprets program status and predicts trends by analyzing earned value cost and schedule data as an element of integrated program management ● Applies EVM concepts as principal EVM member of an IBR review IPT ● Interprets ANSI EVM standard as entry-level EVMS review team evaluator ● Completes EVM requirements for acquisition solicitation packages

Core Certification Standards (required for DAWIA certification)	
Acquisition Training	● ACQ 202 Intermediate Systems Acquisition, Part A ● ACQ 203 Intermediate Systems Acquisition, Part B (R)
Functional Training	● BCF 106 Fundamentals of Cost Analysis ● If not already completed (as required) at Level I, AND ● BCF 205 Contractor Business Strategies (R) ● BCF 220 Acquisition Business Management Concepts ● BCF 225 Acquisition Business Management Application (R) ● CLM 017 Risk Management ● CLM 024 Contracting Overview ● AND choose one of the following five (5) course options listed below: ● EVM 201 Intermediate Earned Value Management (R) ● EVM 263 Principles of Schedule Management (R) ● CLC 222 Contracting Officers Representative (COR) Online Training ● CON 252 Fundamentals of Cost Accounting Standards (R) ● option 5 includes both of the CON courses listed below: ● CON 121 Contract Planning ● CON 124 Contract Execution
Education	Formal education not required for certification
Experience	4 years of acquisition experience in Budgeting, Financial and/or Earned Value Management

Core Plus Development Guide (desired training, education, and experience)	Type of Assignment	
Training	Bgt/Prg FM Analyst	EVM Analyst
BCF 204 Intermediate Cost Analysis (R)	✔	
BCF 206 Cost Risk Analysis (R)	✔	✔
BCF 207 Economic Analysis (R)	✔	✔
BCF 215 Operating and Support Cost Analysis (R)	✔	✔
CLC 005 Simplified Acquisition Procedures	✔	✔
CLC 007 Contract Source Selection	✔	✔
CLC 011 Contracting for the Rest of Us	✔	
CLC 030 Essentials of Interagency Acquisitions/Fair Opportunity	✔	✔
CLC 106 Contracting Officer's Representative with a Mission Focus	✔	✔
CLG 001 DoD Governmentwide Commercial Purchase Card Overview	✔	
CLM 012 Scheduling	✔	✔
CLM 040 Proper Financial Accounting Treatments for Military Equipment	✔	
EVM 262 EVMS Validation and Surveillance (R)		✔
Education		
Baccalaureate degree in business or a business-related field		
Experience		
4 years of acquisition experience in Budgeting, Financial and/or Earned Value Management in support of an acquisition program		

Source: DAU website, http://icatalog.dau.mil/onlinecatalog/CareerLvl.aspx?lvl=2&cfld=16.

Competency Models and Assessments

Another way that DOD is assessing the AWF is making increased use of competency modeling to perform skillset gap analyses and update education and training initiatives to address identified deficiencies. According to the U.S. Department of Energy's description of "General Competencies":

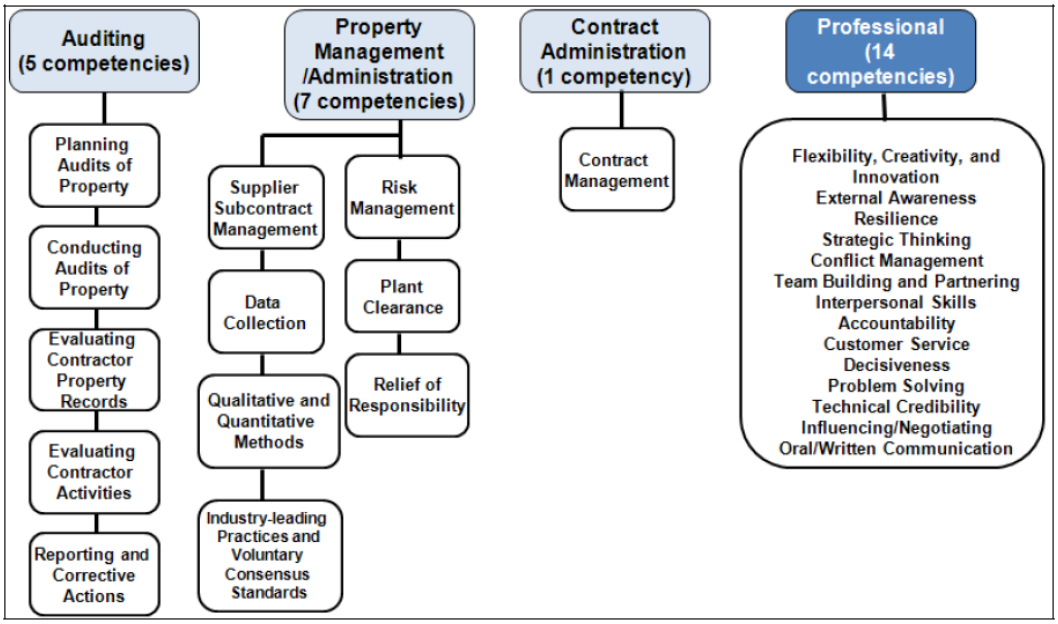
> A competency is defined by the Office of Personnel Management (OPM) as a measurable pattern of knowledge, skills, abilities, behaviors, and other characteristics that are needed to perform work roles or occupational functions successfully. Competencies are developed, attained, and sustained through training, rotational and developmental assignments, experience (both professional and personal), education, and self-development. Attainment of a certain level of competency is assessed based on demonstrated abilities to apply the competency in different situations and/or circumstances. Attainment is based not just on performance in a role over time, nor is it necessarily directly tied to grade.[4]

As an example, Figure 56 shows a high-level competency model developed by CNA for the Industrial and Contract Property Management career field competency assessment [35].[5] The model defines the competencies required to deliver needed capabilities. The model includes both technical competencies, which are functional-specific competencies associated with a given career field, and professional competencies, which are leadership, relational, cognitive, and management focused and can be applied to all career fields [26].

[4] http://energy.gov/sites/prod/files/2015/06/f23/DOE_Competency_Dictionary_FINAL.pdf.

[5] The detailed elements of this competency model are listed in Appendix A of the *Industrial and Contract Property Management (Property) Workforce Competency Assessment Report* [35].

Figure 56. Industrial and Contract Property Management Competency Model



Source: *Industrial and Contract Property Management (Property) Workforce Competency Assessment Report* [26].

6.6 Acquisition Demonstration (AcqDemo) Project

The NDAA for FY1996, amended by section 845 of the NDAA for FY1998, allowed DOD to conduct a personnel demonstration project for civilians in the Defense AWF. The AcqDemo project was first implemented in 1999, with the objective of determining the feasibility of improving AWF personnel management policies. The rationale for AcqDemo lay in concerns with limitations with the traditional General Schedule (GS) personnel system used by the federal government, and that it did not support a "pay for performance" approach that links monetary compensation to performance. Efforts on AcqDemo were paused for transition to the National Security Personnel System (NSPS), but resumed with the cancellation of that program. The NDAA for FY2011 extended AcqDemo through FY2017, and it was given an additional three-year extension, through 2020, in the NDAA for FY2016.

The AcqDemo project implemented 10 civilian personnel system changes designed to overcome perceived limitations of existing personnel management systems. These changes included:

- Simplified, accelerated hiring and expanded candidate selection process
- Modified term appointment authority
- Flexible/expanded probationary period
- Contribution-based compensation and appraisal system (CCAS)
- Broad-banding—where each pay band contains multiple legacy GS levels
- Simplified classification system
- Modified reduction-in-force (RIF) procedures
- Academic degree and certificate training
- Sabbaticals
- Voluntary emeritus program.

There is a strong demand from acquisition organizations to have AcqDemo implemented, and DOD has developed a structured approach to fielding up to the maximum level allowed. Acquisition leaders value the contribution-based structure and wider pay bands, which can facilitate better talent management and reduce some level of administrative burden. We also believe the current congressional proposal in the NDAA for FY2017 to make AcqDemo a permanent program would be beneficial to the AWF.

Hiring Flexibilities

The AcqDemo program provides program managers with recruitment and hiring flexibilities designed to improve their ability to meet mission requirements. For example, the program eliminates the "rule of three" in hiring new employees from outside the system, allowing more candidates to be considered for each position. AcqDemo also provides hiring options in addition to permanent appointments. Temporary limited positions are one-year positions, while modified terms are five-year positions based on locally approved annual extensions. Every new hire goes through a one-year probationary period in which the program manager can assess the employee's level of contribution [36].

Pay Flexibilities

AcqDemo is designed with a "broad band" pay structure. All employees in the AcqDemo system are classified into one of three career paths, each of which has three or four pay bands. These pay bands are pegged to GS salary scales, and employees can earn a salary anywhere within their band. This pay structure allows high performers an opportunity to achieve faster pay growth without necessarily

requiring promotion into an open position in the next pay band. Management is also provided with significant additional flexibility to reassign employees to new positions in the AcqDemo system without necessarily changing pay levels or job descriptions [36].

Performance Appraisal Flexibilities

AcqDemo uses a contribution-based compensation and appraisal System (CCAS) to more closely link pay to job responsibilities and contribution to mission performance. Under the system, employee evaluation criteria include problem solving, teamwork and cooperation, customer relations, leadership and supervision, communication, and resource management. Individuals who perform within an expected range are eligible for pay increases and bonuses. Employees with higher base pay are expected to achieve a higher performance level before earning higher pay. The system is designed to reward high contributors and withhold pay increases and bonuses from low contributors, providing incentives for higher performance [36].

Continuous Learning Initiatives

DODI 5000.66 [7] sets standards for continuous learning for AWF members. The directive requires that each individual, working with their supervisor, establish a learning plan that will allow them to increase functional proficiency, leadership, and cross-functional competencies, and generally keep pace with the rapidly changing acquisition environment. AWF members must earn a minimum of 80 continuous learning points (CLPs) over a two-year period, with 40 CLPs each year being the goal.

The learning plans are typically referred to as Individual Development Plans (IDPs), and identify courses and training for the individual that (1) are required to reach the next level of certification for their career field; (2) apply directly to their current duties; and/or 3) the supervisor and employee feel are important to prepare the individual for future assignments and responsibilities. A key component of these learning plans is the identification of continuous learning (CL) to be accomplished. Appendix E of the DODI states:

- E2.2.8. Continuous Learning. Members of the AT&L Workforce and their supervisors shall establish individually tailored plans for continuous learning in order to increase functional proficiency, maintain currency, increase leadership and cross-functional competencies, and keep pace with initiatives in the dynamic AT&L environment.

- E2.2.8.1. Members shall acquire a minimum of 40 continuous learning points (CLPs) every fiscal year as a goal and 80 CLPs being mandatory within 2 years.

- E2.2.8.2. Members may count certification training towards CLPs.

If an individual does not already possess the DAWIA certification level required for the AWF position they occupy, in the correct career field, they have a 24-month grace period to complete the training and experience requirements to attain the certification. If they already possess the correct career field certification for the position, they will still need to accomplish Continuous Learning (CL) and will work with their supervisor and functional leadership to determine their IDP.

DODI 5000.66 [7] also states the following regarding competency development for personnel who have attained Level III (Advanced) certification:

> E2.2.9. Competency Development After Level III Certification. Once the individual has completed Level III certification in their primary career field, he or she is expected to continue professional development through training, education, and assignments. Continued competency development and continuous learning efforts are expected by all AT&L workforce members.

Several interviewees, however, noted that the structure of the CL program predominantly allows individuals to select the CL courses they would like to take. A small number of career fields have mandatory courses for their personnel each year, but the majority do not. As a result, the majority of DAWIA-certified personnel do not have a structured requirement, or identified course, to provide them with insight into key legislative and policy changes that have been recently implemented—particularly if they have already attained their Level III certification.

Observation 17: *There is currently no structured, DOD-wide approach for Functional Leaders to ensure that all individuals within their career field receive training on any significant changes to law or policy—particularly after reaching Level III certification.*

Recommendation 17: *Each year, FLs develop a CL course, or courses, tailored to their career field's occupation(s) that cover(s) key updates in statute or policy and other important lessons learned. These CL courses would be a mandatory part of an AWF employee's 80 hours of CL every two years, and would be required annually.*

6.7 Professional Military Education (PME), Fellowships, and Exchange Programs

AWF personnel participate in a number of professional development courses and programs. Some courses are specifically for the AWF (e.g., DAU courses), but many are open to personnel across DOD (e.g., DOD Corporate Fellows Program, PME, etc.). For those programs and courses that are DOD-wide, AWF members must compete to participate, and the number of openings is small in comparison to the eligible population.

- PME Courses (e.g., Army/Navy/Air/Marine Corps War Colleges, Eisenhower School, National War Colleges, International War Colleges, etc.)
- DOD Corporate Fellows Program
- DOD Civilian Leadership Program, established by the NDAA for FY2010, section 1112 (Title 10 USC, section 1580)
- DON Executive Development Program, University of North Carolina
- Air Force Smart Operations for the 21st Century Executive Leadership Course, University of Tennessee
- DOD Training with Industry (TWI) Program
- Pilot Program on Temporary Exchange of Financial Management and Acquisition Personnel, NDAA for FY2016 (Title 10 USC, section 1701).

To augment these opportunities for the AWF, the Components have pursued a number of training and development opportunities, largely supported by DAWDF funding. Some examples of these include

- Army and DON partnerships with the Darden Graduate School of Business Administration at the University of Virginia for education on the commercial business environment
- The Air Force sending 2,312 acquisition professionals to courses at the Air Force Institute of Technology (AFIT) for courses ranging from developmental planning and cost analysis to streamlining and reducing the cost of T&E
- The DON has implemented week-long Program Manager (PM) Workshops, held eight times per year, with class sizes of 9 to 10. PMs are walked through a series of real-world case histories and issues in the Assistant Secretary of the Navy for Research, Development, and Acquisition (ASN(RD&A)) war room.

DOD has pursued a number of efforts on understanding industry business models and motivations, but we believe it would also be beneficial for DOD to investigate whether Defense AWF members could attend defense industry training courses—much like industry has the opportunity to have their personnel attend DAU. We also recommend that DOD work with key defense industry leaders to understand the scope of the training subjects and curriculum to identify differences from the DOD model and assess whether DOD training should be expanded to include these topics.

Observation 18: *Defense-related corporations have very structured training curriculums for personnel selected for a management track. Just as DOD offers industry the opportunity to attend DAU courses, it might be beneficial to see if DOD personnel could attend industry training courses.*

Recommendation 18: *Investigate the possibility of Defense AWF members being allowed to attend defense industry training courses, and assess industry curricula to understand key differences and areas where DOD training could potentially be expanded.*

The OSD Director for Professional Military Education prepared a white paper for the Secretary of Defense on Professional Development Opportunities (PDOs) for officers [37]. Although the paper is for military officers in general, we believe the structure and definitions provide an excellent template for tracking PDOs for the AWF. The following excerpts from the paper provide the definitions they used in defining these opportunities, and the reporting matrix format (Table 24) they developed.

> "Broadening opportunities" are part of the professional development of Service members. The Services define such opportunities differently. OSD(P&R) Force Education directorate, working with the Services, developed seven categories to capture consistency for this analysis and refers to them broadly as Professional Development Opportunities (PDOs):
>
> 1. **Fellowships**: Non-degree fellowships for AC (excluding special branches such as chaplains or medical corps) officers with academia, think tanks, corporations, research institutes, and federal agencies. This category includes the Secretary of Defense Corporate Fellows program. Fellowships are generally 12 months in duration and will not exceed 24 months if extended.
> 2. **Internships**: Similar to fellowships, but targeted towards junior officers at the O3/O4 level. Internships may include on-the-job training and conducting research, especially in the science and technology fields. Internships vary between 10 months and 3 years in duration.
> 3. **Training with Industry (TWI)/Employment with Industry (EWI)**: Personnel assignment to the private sector across a diverse mix of industries. Assignment length varies by Service but is typically one year and will not exceed 24 months if extended.
> 4. **Scholarships**: Graduate degree scholarship opportunities (Rhodes, Fulbright, and others such as the Purdue University Military Research Initiative Scholarship). These opportunities are not limited to only those that produce a degree (covered in category 5).
> 5. **Graduate Degree Education**: Degree producing, in-residence graduate education assignment at civilian institutions, including masters degrees and PhD opportunities.
> 6. **International Assignments**: Foreign assignments, including operational staff and foreign War Colleges, that vary between 10 months and 3 years in duration.
> 7. **War College (ILE/SLE)**: In-residence participation in Joint Professional Military Education I and II at U.S. War Colleges and equivalents.

Table 24. Military Officer Professional Development Opportunities (2016)

PDO	Army		Air Force		Navy		USMC		Total	Percentage
Fellowships	114	3%	96	6%	40	3.77%	38	6%	288	4.36%
Internships	20	0.58%	50	3.38%	6	0.55%	0	0%	76	1.15%
TWI/EWI	161	5%	30	2%	34	3.20%	8	1.31%	233	3.53%
Scholarships	47	1%	31	2%	59	5.56%	8	1.31%	145	2.20%
Graduate Education	1009	29%	616	42%	472	44%	171	28%	2268	34.37%
International Assignments	141	4%	29	2%	90	8.48%	50	8%	310	4.70%
War College (ILE/SLE)	1955	57%	626	42%	360	39%	337	55%	3278	47%
Totals	3447		1478		1061		612		6598	100

Source: OSD P&R (FE&T)) Information Paper, PDOs [37].

Observation 19: *Work done by OSD(P&R) Force Education Directorate provides an excellent structure for tracking professional development opportunities (PDOs).*

Recommendation 19: *HCI work with the Components and DACMs to implement a similar structure to track and plan for AWF PDOs.*

6.8 Permeability

There is an increasing desire to allow the ability for government civilians to be able to move back and forth between government and commercial positions—a concept sometimes referred to as "permeability." This concept recognizes the tendency for younger U.S. workforce employees to want to move more often between jobs and employers. Anticipated benefits from implementing policies that support this type of movement into and out of DOD are that it will improve the government's ability to initially attract new employees and, just as important, allow easier processes to bring back former employees who have pursued opportunities outside of DOD. One key issue that will need to be addressed is the continuing concern regarding potential conflicts of interest when government employees transition to civilian companies, and the avoidance of any impression of a "revolving door."

Of interest on this topic is that DOD's ability to attract mid-career employees into the AWF appears to be increasing. As shown previously, in Figure 37, the number of mid-career new hires rose to 2,374 in FY2015—representing 42 percent of all mid-career gains in that year, and 59 percent of non-administrative gains. We believe it would be beneficial to further analyze the individuals who enter and leave the AWF at the mid-career level to understand whether some level of permeability already exists. These data would also potentially be helpful in assessing how the SECDEF Force of the Future might be implemented.

Observation 20: The large number of mid-career AWF new hires could provide insight into whether some level of "permeability" currently exists, and whether there are some factors that are more influential for individuals making these decisions.

Recommendation 20: DOD evaluate AWF mid-career gains and losses to better understand what level of permeability might currently exist, and gain insights from these individuals on what factors might be most influential in attracting personnel.

Training Requirements

In addition to normal course development and currency reviews, DAU has added a number of new training requirements based on requirements from NDAAs:

- **FY2006, section 817. Joint Policy on Contingency Contracting**: Requires SECDEF, in consultation with CJCS, to develop a joint policy for contingency contracting, and that this policy include a requirement to provide training (including training under a program to be created by DAU) on specified subjects to contingency contracting personnel

- **FY2006, section 832. Training for Defense Acquisition Workforce on the Requirements of the Berry Amendment**: Requires SECDEF to ensure that all AWF personnel who participate "personally and substantially in the acquisition of textiles be trained on the Berry Amendment," and that this information be included in new training programs

- **FY2007, section 854. Joint Policies on Requirements Definition, Contingency Program Management, and Contingency Contracting**: Establishes requirements related to contingency contracting, including the requirement to provide training (including training under a program to be created by DAU) on specific aspects of contingency contracting to program management personnel

- **FY2008, section 849. Contingency Contracting Training for Personnel Outside the Acquisition Workforce and Evaluations of Army Commission Recommendations**: Adds requirement for training on contingency contracting to non-AWF military personnel who are expected to have acquisition responsibility, including oversight duties associated with contracts or contractors, during combat operations, post-conflict operations, and contingency operations

- **FY2009, section 865. Preventing Abuse of Interagency Contracts**: Requires the Director of the Office of Management and Budget (OMB) to issue guidelines regarding interagency contracts, with requirements for training AWF personnel in their proper use

- **FY2012, section 807. Implementation of Recommendations of Defense Science Board Task Force on Improvements to Service Contracting**: Requires USD(AT&L) to establish formal certification and training requirements for services acquisition personnel

- **FY2013, section 831. Guidance and Training Related to Evaluating Reasonableness of Price**: Requires USD(AT&L) to develop and implement training for the AWF on evaluating reasonableness of price for procurement

- **FY2013, section 1633. Senior Executives**: Requires heads of agencies to ensure that their senior executives receive training on federal procurement requirements, to include small business contracting goals and percentages

- **FY2016, section 844. Mandatory Requirement for Training Related to the Conduct of Market Research**: Amends Title 10. U.S.C. to require training for personnel responsible for conducting market research.

In each case, DAU has developed or expanded courses to provide this training—directly enabled by DAWDF funds.

Development

NDAAs have also included specific language related to AWF personnel development, career planning, and exchange programs:

- **FY2011, section 874. Recertification and Training Requirements**: Requires SECDEF to establish education, training, and experience requirements for each acquisition position, based on the level of complexity of duties carried out, and provide additional training with emphasis on services contracting, market research, and long-term sustainment strategies, information technology, and rapid acquisition. This section also requires SECDEF, through USD(AT&L), to establish requirements for continuing education and periodic renewal of an individual's certification.

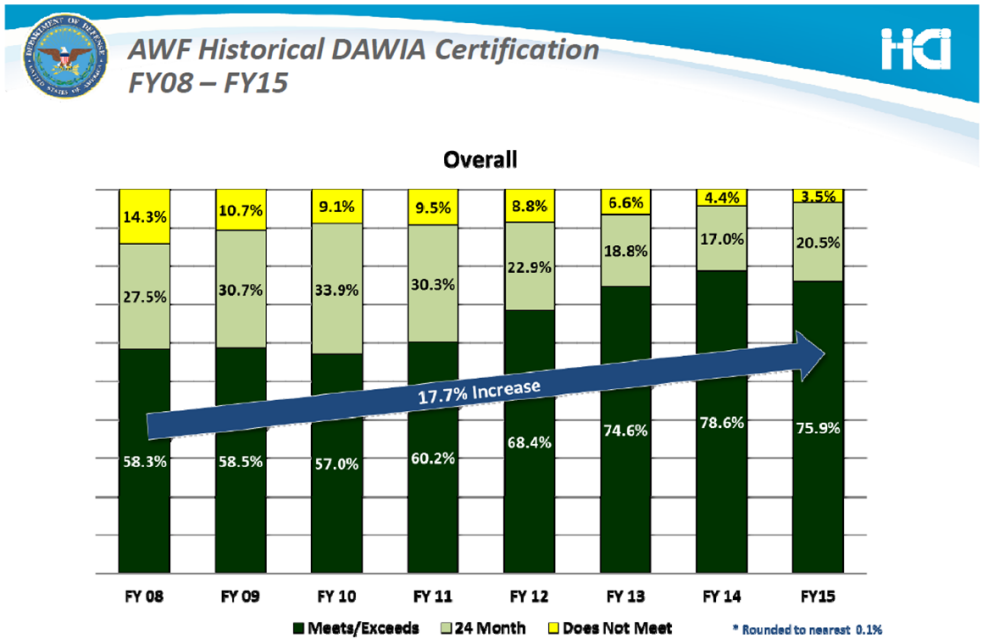
- **FY2016, section 1110. Pilot Program on Temporary Exchange of Financial Management and Acquisition Personnel**: Permits the SECDEF to carry out a pilot program to assess the feasibility and advisability of temporarily assigning covered employees of DOD to nontraditional defense contractors and of covered employees of such contractors to DOD.

6.10 Metrics for Training and Development

Certification levels

As described earlier, personnel earn DAWIA Level I, II, or III certification in an acquisition career field (or more than one) by completing a combination of accredited training and experience requirements. AWF positions are coded by career field and required DAWIA certification level. Personnel can be assigned to an AWF position that has a higher certification level than they possess, but they must earn the required certification within 24 months of assuming the position. HCI closely tracks the alignment of these position requirements, and the qualifications of personnel assigned, by career field and certification level. Figure 57 shows, by percentage, how AWF personnel qualifications align with their current position.

Figure 57. Overall Percentage of AWF Having DAWIA Certification at Least at the Level Required for Their Position

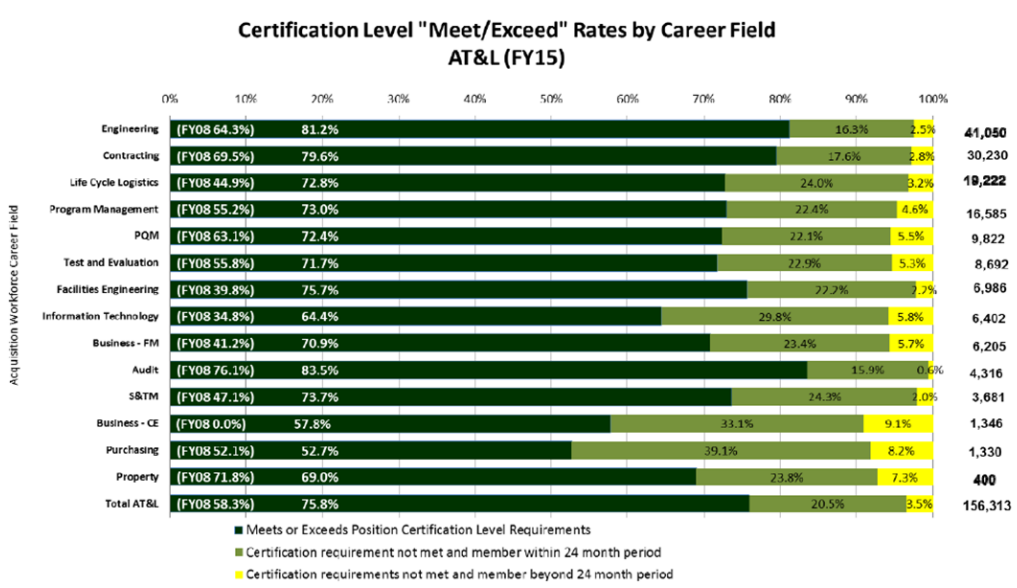


Source: Defense Acquisition Workforce Key Information: Overall, as of FY15Q4, http://www.hci.mil/data/2015Q4/Overall_Key_Information_FY15Q4.pdf.

The percentage of personnel who have certification levels that meet or exceed the level required for their current position (dark green column) has increased from 58.3 percent in FY2008 to 75.9 percent in FY2015. This percentage decreased slightly from FY2014 to FY2015, but this was influenced by the large number of new employees in FY2015. The percentage of employees who did not have the certification level required for their position, but were within the 24-month grace period (light green column), has decreased from 27.5 percent in FY2008 to 20.5 percent in 2015—reflecting the increased focus on training and certification. The final category represents personnel who did not have the certification level required for their position and are beyond the 24-month grace period (yellow column), which has decreased from 14.3 percent in FY2008 to 3.5 percent in FY2015.

The AWF key information briefing also includes a graphic showing DAWIA certification qualifications, by career field, with all Component data aggregated, which is shown in Figure 58.

Figure 58. Percentage of AWF Personnel, by Career Field, Having DAWIA Certification at Least at the Level Required for Their Position



Source: Defense Acquisition Workforce Key Information: Overall, as of FY15Q4, http://www.hci.mil/data/2015Q4/Overall_Key_Information_FY15Q4.pdf.

In Appendix H, we show these same types of figures, by career field and Component, taken from the career field summary briefings for FY2015 on the HCI website. These graphics show that personnel meeting or exceeding the DAWIA-level certification required for their current position vary by career field and specialty code. In addition, higher "Meet/Exceed" percentages in the largest career fields result in the overall Meet/Exceed percentage of 75.9 percent.

Training requested versus accomplished

In Table 23 we noted that DAU had 52,665 classroom seats available in FY2015. Actual attendees, however, numbered only 41,040. As discussed in the training section above, this is driven in large part by the difference between the Component training requirement forecasts (nine months prior to the fiscal year of training) and the actual needs and availability during the year of execution.

Table 25 shows a comparison of the courses requested, broken out by military department and Fourth Estate, versus the training cap established by DAU, and the actual number of course attendees ("Inputs"). In all cases, the number of attendees was less than the DAU-established cap, and far below the courses requested.

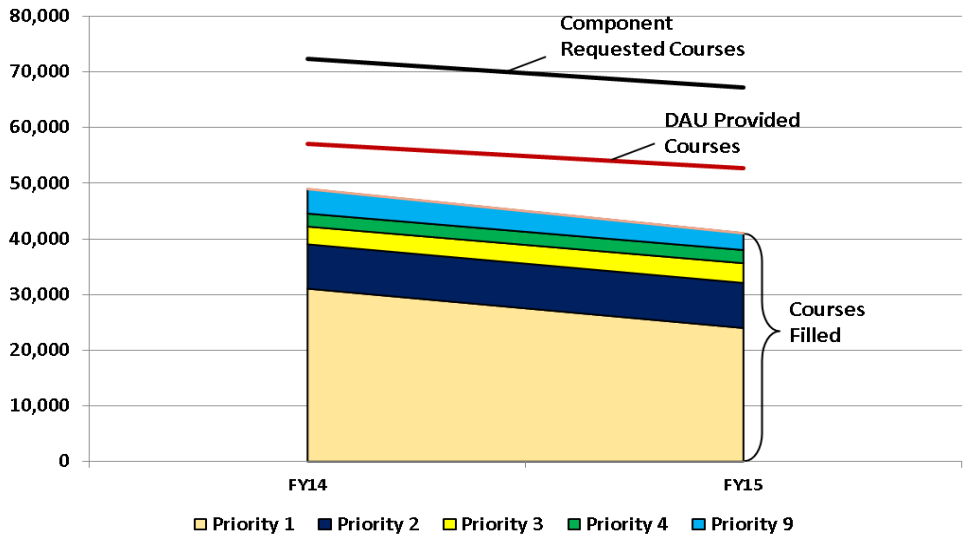
Table 25. Requested versus Actual DAU Courses for FY2015

FY15 Classroom Statistics					
Component	Army	Navy	Air Force	4th Estate	Total
Requested Seats	14,559	16,456	17,781	18,483	67,279
CAP (Provided Seats)	12,484	12,452	14,984	12,745	52,665
Inputs					
P1	3,805	7,044	6,401	6,734	23,984
P2	2,806	1,835	2,523	949	8,113
P3	781	1,571	972	209	3,533
P4	755	515	394	702	2,366
P9	961	1,062	439	582	3,044
Total	9,108	12,027	10,729	9,176	41,040
Variance Requested (Requested Seats - Inputs)	5,451	4,429	7,052	9,307	26,239
Variance CAP (Inputs - CAP)	-3,376	-425	-4,255	-3,569	-11,625
As of 5/5/2016; Source: DAU Data Mart; L. Johnson					

Source: DAU Spreadsheet, April 2016.

Figure 59 provides a graphic representation of the total data in Table 25 for FY2015, and includes similar data from FY2014.

Figure 59. DAU Courses Requested by Components versus Actual Attendees



Source: DAU Spreadsheet, April 2016.

Both DAU and the Components are concerned about the current process, and DAU is now working with the RAND Corporation to review course planning and requirements determination, and to develop more effective methods for forecasting and scheduling courses.

***Observation 21**: Current processes for requesting DAU residence courses result in training forecasts that vary significantly from actual execution-year performance. This results in lower-than-anticipated attendance and inefficiencies in the scheduling of courses.*

***Recommendation 21**: In addition to current DAU efforts with RAND to improve training requirements development, recommend a more formal process for Priority 1 and 2 personnel to request and be scheduled for required training, and metrics to be presented at SSBs annually on requests versus courses scheduled and attendees, by Component.*

7. Retention

Retention efforts have received the lowest level of DAWDF funding, based on the DFAS 1002 Report. From FY2009 to FY2015, only $112 million of the $3.6 billion reported for DAWDF was identified as supporting retention initiatives. HCI notes that because many of the retention initiatives are similar to recruiting initiatives (e.g., student loan repayment and tuition assistance), it is possible that some funding used for retention is reported in a consolidated way under categories related to recruiting. In the new DAWDF Desk Operating Guide, Version 1.0 [2], reporting for retention and recognition incentives is combined into the same reporting category as recruiting, with specific guidance and examples on how to differentiate entries to allow the necessary distinction. Particular attention will need to be paid to ensuring that these criteria are followed, to allow the proper level of differentiation between these types of efforts.

7.1 DAWIA

The DAWDF section of DAWIA authorizes DOD to implement retention incentives for the AWF to maintain a qualified and experienced workforce. In addition, efforts related to section 1722 of DAWIA, "Career Development," are to provide appropriate career paths for all AWF members, which can influence retention.

7.2 DAWDF

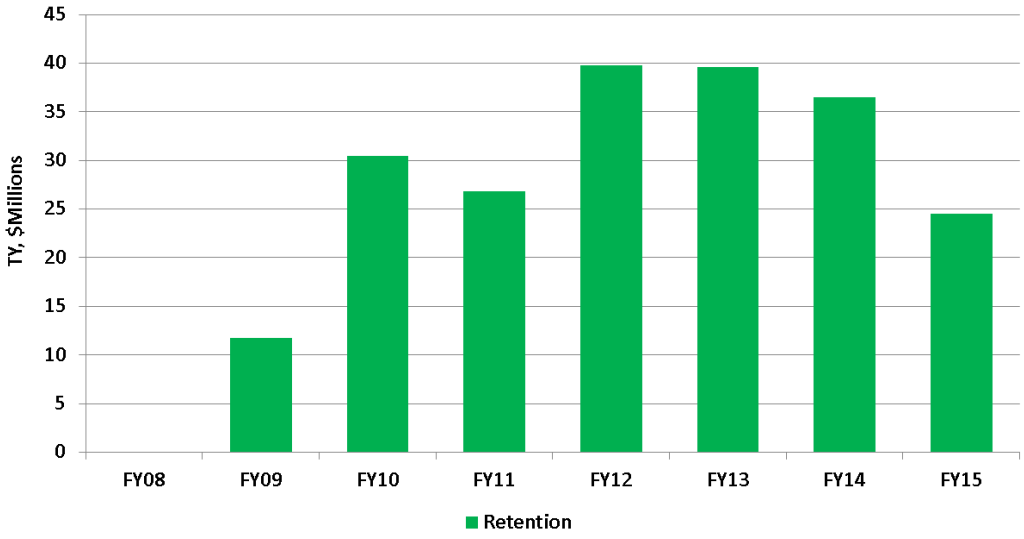
Retention Initiatives

Approximately 7 percent of DAWDF funding obligated between FY2008 and FY2015 was identified in the DAWDF Annual Reports to Congress as being for AWF retention efforts. Initiatives in this area include student loan repayments, tuition assistance, and rotational assignments—where those receiving education funding incur a specified employment obligation. Figure 60 shows how these DAWDF retention funds were obligated, by fiscal year.

When asked why DAWDF obligation values for retention were noticeably lower than for recruiting or development, several interviewees noted that AWF retention rates have remained fairly consistent—which is supported by the metrics in section 7.4 below. We also note that in order to reshape the civilian AWF, which is weighted toward more senior personnel, HCI has also pursued the use of incentives such as Voluntary Early Retirement Authority (VERA) or Voluntary Separation Incentive Payments programs, to increase the number of retirement-eligible and near retirement–eligible personnel who retire—opening positions for early and mid-career personnel.

A couple of interviewees also noted that there is some reluctance to using some authorities based on concerns with creating "haves" and "have nots," where personnel who did not receive the benefits ("have nots") might see this as a negative factor. This seemed to be particularly true in the case of career fields that included AWF and non-AWF personnel (e.g., Business–Financial Management, Life Cycle Logistics, etc.), where the community could provide incentives to one portion of its career field but not to others, regardless of whether the non-AWF personnel were in similar critical positions and circumstances.

Figure 60. DAWDF Funding for Retention Initiatives, by FY of Obligation



Source: DAWDF Annual Reports to Congress for FY2008 to FY2015.

7.3 Factors Affecting Retention

Legislation

In addition to DAWDF, two other sections in Title 10 U.S.C, Chapter 87, can be seen as influencing both AWF development and retention. These are section 1722, "Career development" and section 1723, "General education, training, and experience requirements"—which can increase job satisfaction and lead to higher retention. In addition, Congress added a new pilot program in the NDAA for FY2016 to assess the benefits of special pay authority

- **NDAA for FY2016, section 1111. Pilot Program on Enhanced Pay Authority for Certain Acquisition and Technology Positions in the Department of Defense**: Authorizes SECDEF to carry out a pilot program to assess the feasibility and advisability of using special pay authority (up to 150 percent of Level One Senior Executive Service (SES) pay) to attract and retain high-quality acquisition and technology experts in positions responsible for managing and developing complex, high-cost, technological acquisition efforts of DOD.

7.4 Metrics for Retention

Civilian Losses

One important metric to assess the results of retention and recognition efforts is whether there are corresponding changes in the DOD and Component civilian AWF losses. Table 26 shows the civilian AWF loss percentages, by career field, from FY2008 to FY2015—listed from lowest to highest percentage.

Table 26. Civilian AWF Loss Percentage, by FY and Career Field

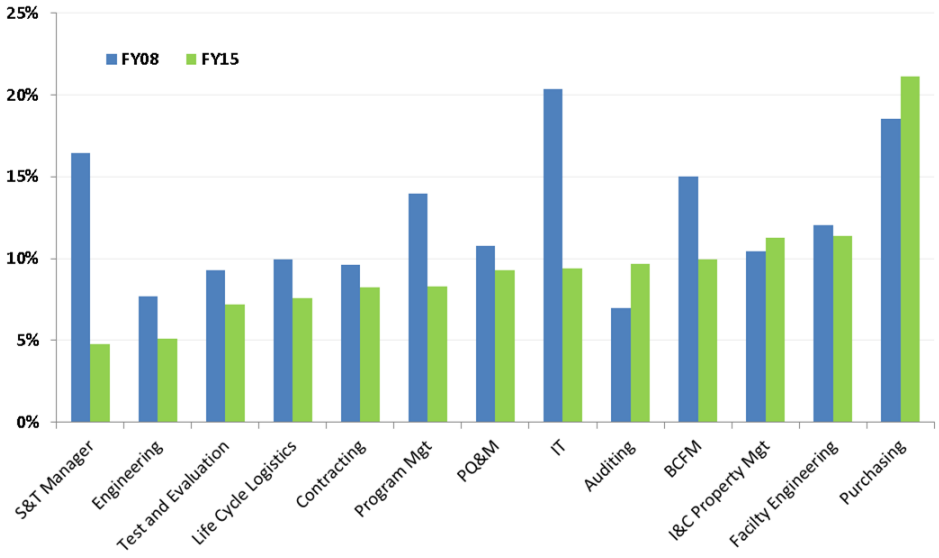
Career Field	Percent Loss							
	FY08	FY09	FY10	FY11	FY12	FY13	FY14	FY15
S&T Manager	16%	8%	2%	7%	7%	7%	6%	5%
Engineering	8%	5%	5%	6%	6%	5%	7%	5%
Test and Evaluation	9%	6%	7%	6%	6%	6%	7%	7%
Life Cycle Logistics	10%	8%	8%	12%	8%	8%	8%	8%
Contracting	10%	8%	7%	8%	8%	8%	8%	8%
Program Mgt	14%	11%	10%	10%	10%	8%	9%	8%
PQ&M	11%	11%	10%	11%	10%	10%	10%	9%
IT	20%	11%	9%	11%	9%	9%	10%	9%
Auditing	7%	8%	7%	6%	6%	8%	8%	10%
BCFM	15%	12%	9%	11%	10%	10%	11%	10%
I&C Property Mgt	10%	9%	10%	13%	13%	13%	11%	11%
Facilty Engineering	12%	10%	7%	8%	10%	10%	11%	11%
Purchasing	19%	18%	18%	18%	16%	16%	21%	21%

Source: Human Capital Initiatives office.

Figure 61 is a graph comparing the first and last columns of Table 26 to show the difference in loss percentages between FY2008 and FY2015. Data are arranged from left to right based on lowest-to-highest loss percentage in FY2015. Ten of the 13 career fields show lower loss percentages than in FY2008, with Auditing, Industrial and Contract Property Management, and Purchasing being the three exceptions. Significant decreases are seen for Science and Technology Managers, Program Management, Information Technology, and Business–Cost Estimating and Financial Management.

In addition, the percentage of losses for the Purchasing career field has been between 16 percent and 21 percent in every year from FY2008 to FY2015, higher on average than any other career field.

Figure 61. Comparison of Civilian AWF Loss Percentages, FY2008 vs. FY2015



Source: Human Capital Initiatives office, Gain/Loss Spreadsheet.

Exit Interviews

One technique that could be employed to gain additional insight into what factors are influencing losses is the use of exit interviews. We would not recommend these interviews be performed as a matter of course, but that they be employed strategically when a particular career field (either in general or for a specific Component) has a higher-than-average loss rate. These interviews can provide insight into whether losses are based on factors internal or external to DOD, and inform future workforce decisions and incentives.

Military Promotion Rates

The SECDEF is tasked in Title 10 USC, section 1731 to "ensure that the qualifications of commissioned officers selected for the Acquisition Corps are such that those officers are expected, as a group, to be promoted at a rate not less than the rate for all line (or the equivalent) officers of the same armed force (both in the zone and below the zone) in the same grade." A recent RAND Corporation report, *Promotion Benchmarks for Senior Officers with Joint and Acquisition Service* [38], looked specifically at promotions to Brigadier General/Rear Admiral Lower Half (O-7) and Major General/Rear Admiral Upper Half (O-8), and notes the following regarding the intent of this legislation:

> A key aspect of the legislation is that its fundamental objective was to influence the quality of officers assigned to joint or acquisition duties. Congress established promotion objectives not to influence promotion selections directly but rather to serve as indicators of how officer quality was distributed in earlier assignment decisions. Accordingly, promotion outcomes should be measured broadly to be as representative as possible of the quality of officers assigned at various times in the categories of interest.

DOD provided a summary of historical Service promotion percentages that compare the Acquisition Corps promotion percentages with the promotion board averages, by promotion zone (Above Zone, In Zone, or Below Zone). This information for O-5 and O-6 promotion boards is included in Appendix I, and we have color-coded the Acquisition Corps percentages as either green (greater than or equal to the board average), yellow (less than or equal to 0.2 percentage points below the board average), or red (equal to or greater than 0.3 percentage points above the board average).

Assessing these Acquisition Corps promotion percentages provides valuable insight into how each promotion board assessed the qualifications of officers being selected for the Acquisition Corps, by Service. Although the data in Appendix I contains data regarding Above Zone, In Zone, and Below Zone promotions, we will review only the In and Below Zone values—based on the Title 10 USC, section 1731 criteria. Overall trends noted, by Service, are:

- U.S. Navy: Acquisition Corps promotion rates have historically been equivalent (within 0.2 percentage points) or higher than the promotion board average, for both O-5 and O-6 promotions, for both In and Below Zone promotions.

- Marine Corps: Acquisition Corps In Zone promotion percentages for O-6 have historically lagged behind board average percentages, but in FY2015 the Acquisition Corps percentage (53.3 percent) far exceeded the average percentage (39.9 percent). USMC O-5 Acquisition Corps In Zone promotion percentages have historically been higher than the board average, but were just slightly lower than the board average in FY2015 (62.1 percent versus 64.2 percent). For Below Zone promotions, all percentages were effectively zero, for both Acquisition Corps and the board average.

- Army: Acquisition Corps In Zone promotion percentages typically exceeded board averages for both O-5 and O-6 promotions. For O-5 and O-6 Below Zone promotions, however, Acquisition Corps percentages were below the board average in all years reported.

- Air Force: Acquisition Corps In Zone promotion percentages were typically above board averages for O-6 promotions, but Acquisition Corps Below Zone promotions to O-6 were below the board average for four of the five years reported. For Acquisition Corps In Zone and Below Zone O-5 promotions, percentages were zero for the last four reported boards, due to having no eligibles in the Acquisition Corps.

Overall, Acquisition Corps In Zone promotion percentages, to both O-5 and O-6, indicate that personnel selected for the Acquisition Corps are promoted at the same rate as the board average across the Service. Results for Below Zone promotions, however, vary by Service.

For Army and Air Force O-6 boards and for Army O-5 boards, Acquisition Corps Below Zone promotion percentages are historically below the board average. In the case of the Army O-6 boards, one additional Acquisition Corps selectee would have resulted in equivalent percentages in four of the five cases. For the Air Force O-6 and Army O-5 boards, more than one additional selectee would have been required to attain equivalence. We also note, with respect to Air Force Below Zone promotions to O-5, that the Air Force is the only Service to have no Acquisition Corps Below Zone eligibles for the last four promotion boards.

In the U.S. Navy and Marine Corps, Below Zone promotions are effectively at the same level for Acquisition Corps personnel as for the board averages, but Below Zone promotions are much lower percentages overall than for the Army and Air Force.

In Zone promotion percentages indicate that, on average, DOD is selecting personnel in a manner consistent with the DAWIA expectation for Acquisition Corps officer qualifications. With respect to Below Zone promotion, which is often a consideration for Flag or General Officer selection, it appears that Army O-5 and Air Force O-6 promotion boards do not see Acquisition Corps personnel qualified for Below Zone promotion at the same percentage as the board average. Below Zone board average promotion percentages are low, with the last five Army O-5 and Air Force O-6 boards ranging from 3.2 to 9.2 percent and 2.2 to 4.6 percent, respectively. We recommend that the Army and Air Force review these results to understand if any changes in Acquisition Corps qualifications or promotion board instructions should be considered.

8. Summary

> *The Department's efforts to strengthen workforce capabilities and promote professionalism of the acquisition workforce have covered a wide range of initiatives, addressing recruiting, workforce development, and talent management challenges. The Department has made progress in rebalancing and increasing the workforce to meet our workflow, and it is further reshaping disciplines related to emergent threats and challenges such as cybersecurity and information technology. We continue to focus our recruiting and retention programs on identifying, hiring, and retaining the best and the brightest in the disciplines vital to meeting today's challenges while anticipating those of the future.*
>
> ***USD(AT&L) Frank Kendall***
> ***November 2016 [3]***

The intent of DAWIA is to ensure that the DOD develops and manages the AWF as a profession that is able to fully execute the responsibilities and authorities associated with military acquisitions. To that end, DAWIA tasks the Secretary of Defense, USD(AT&L), Service Secretaries, and DOD agency heads with specific responsibilities regarding the recruiting, development, and retention of these personnel.

Our review found strong support for the tenets of DAWIA, from the Secretary of Defense on down. Based on our review and discussions, we believe the current DAWIA language in Title 10 USC, Chapter 87 provides appropriate direction and authorities with respect to the AWF—and that the DAWDF has been instrumental in the growth and reshaping of the workforce.

We found that the AWF has been a priority for a successive number of USD(AT&L)s, and that they, the CAEs, and the HCI office have implemented a number of initiatives that have improved how DOD accesses, develops, and manages AWF personnel. USD(AT&L)'s BBP increments also continue to place emphasis and attention on the AWF—particularly with respect to qualifications and experience. In many cases, these initiatives were possible only with the establishment of the DAWDF—which has been used primarily for efforts related to recruiting and development.

In accordance with DAWIA, DOD has established a single Acquisition Corps with a common set of standards and criteria regarding certification for each career field. Certification standards, training curricula, and competency determinations are developed centrally. Functional Leaders (FLs) for each career field work with the Component career field leads to regularly review and update, when necessary, these

training and certification requirements. Although internal processes may vary among Components, this common framework allows AWF personnel to transition easily among the Components.

While oversight and certification of the AWF are centralized, organizational structure and force composition vary among Components. As a result, assessments of the AWF provide the most insight when conducted at the Component and career field level. We recommend that DOD expand its strategic workforce planning process to include more comprehensive reviews of actual versus projected AWF size and include documentation on the factors that have resulted in significant changes. As examples, civilian hiring freezes, recalculation of workforce requirements, and funding constraints can all affect the implementation of AWF force management.

We will cover observations specific to recruiting, development, and retention later in this section, but there are several areas overarching in nature that we will note at this time.

The HCI office has undertaken a number of initiatives to improve the processes and management of the AWF. Of particular note are the following:

- The establishment of Acquisition/Human Resources Summits, co-chaired by the DASD(CPP) and the HCI Director, to provide a forum to identify AWF manpower and personnel challenges and work jointly to resolve them
- Continuing management and refinement of the AT&L Data Mart database, which tracks all AWF positions, personnel, and DAWIA certifications
- Expansion of metrics and data related to each AWF career field, which are available through the HCI website
- Oversight of the Workforce Management Group (WMG) to prioritize Component requests for DAWDF funds, for review and approval by the Strategic Steering Board (SSB)—and the oversight and management of DAWDF funds.

The study team also noted several broad areas where we believe changes to current processes would be beneficial:

- The current AWF count methodology, the "DAWIA Count," includes only individuals currently occupying AWF positions. As a result, there are some number of DAWIA-certified personnel in DOD who are not tracked, but who have the potential of rejoining the AWF at some date. We believe it

would be beneficial to understand the size and composition of this group.

- The relationship of DAWIA Level II to Level III positions varies significantly among the eight largest AWF Components. We recommend that USD(AT&L) review these differences to determine if the relationships are appropriate, and consider whether additional guidance may be beneficial.

- Several Components and DACMs noted differences in guidance for implementation of legislation or policy among the Components—particularly with respect to DAWDF use and Expedited Hiring Authority (EHA). We recommend USD(AT&L) have HCI, as part of its WMG responsibilities, identify these differences and prepare recommendations for the SSB to standardize implementation guidance and interpretation across DOD.

- Current, formalized DOD metrics for the AWF do not include contractors. Based on recent congressional definitions and the fact that the "AT&L Workforce Life Cycle Model" acknowledges that these personnel are required to fill critical gaps (that are not IG), we recommend AWF reporting and tracking requirements be expanded to include these personnel.

- Rather than submitting a formal acquisition appendix to a DOD strategic human capital plan every two years, we recommend HCI work with congressional staff to determine how existing AWF data could be compiled and what additional information (e.g., major Component and FL comments on strategic plans, key AWF initiatives, and reasons for changes from previous plans) could be provided on a biennial basis (or when a major change occurs). Incorporating these data and information on the HCI website would reduce staff effort required and provide information in a more timely manner.

- Funding for the AWF comes from multiple appropriations and working capital funds, but the majority of personnel are funded with civilian personnel funding within O&M appropriations. The nature and breadth of requirements included in the O&M appropriation can result in pressures that impact civilian personnel in general, to include a large portion of the AWF. We recommend consideration of whether AWF funding should be fenced within the O&M funding lines.

Due to a number of factors—to include the late arrival of funding in its early years and Component concerns about its temporary nature—a large amount of DAWDF funds has been carried forward into successive fiscal years. We believe the solution proposed in section 839 of the House version of the NDAA—permitting the SECDEF to lower the mandatory contribution into the DAWDF from $400 million to $0 in FY2017, provides the solution that would have the least impact on DAWDF and AWF initiatives.

8.1 Recruiting

Following a period of mandated AWF reductions in the 1990s and early 2000s, Congress and DOD took a number of actions to increase both the size and quality of the AWF. Central to this approach was the implementation of the DAWDF, which provided the resources necessary to implement proposed improvements.

Initial DAWDF efforts stressed recruiting in order to increase the size of the AWF, which grew by 26,447 (21 percent) between FY2008 and FY2012, and by over 30,000 by FY2015. Approximately 63 percent of all DAWDF funding obligated from FY2008 to FY2015 was used for recruiting, with efforts focused on entry-level and journeyman hiring.

This growth is particularly noteworthy, given several factors that affected DOD's recruiting efforts:

- The cancellation of the Federal Civilian Intern Program (FCIP) impacted DOD's ability to conduct recruiting, particularly on college campuses, and there were growing pains as the replacement program, Pathways, was implemented.
- Congressional direction to reduce the DOD civilian workforce has created tension, particularly within the Army. Identification of the AWF, within section 955 of the NDAA for FY2013, as one of the excluded categories of personnel for achieving savings was helpful, but did not affect the Army's decision to reduce the AWF at a rate commensurate with the civilian workforce in general.
- The required 25-percent reduction of management headquarters activities (MHA) personnel is also resulting in reductions of AWF personnel at the SYSCOM, Materiel Command, and Component headquarters levels.

- DOD's strategy in April 2010 was to increase the AWF by approximately 20,000 employees by FY2015—9,887 through new hires and 10,000 through insourcing. A subsequent change in DOD policy regarding insourcing, however, resulted in only 3,400 personnel being insourced. DOD compensated for this by increasing the number of new hires (17,633 through FY2014) and administrative gains (2,811). These efforts have resulted in a more balanced distribution in terms of years to retirement eligibility (YRE) across the civilian AWF.

- Civilian workforce hiring freezes, sequestration, Continuing Resolutions, the government shutdown in October 2013, and later-than-anticipated availability of DAWDF funds in several fiscal years have also affected DOD's goals for AWF improvements.

USD(AT&L), HCI, and the Components did take a number of actions to help mitigate these impacts, which have had positive effects:

- In March 2011, USD(AT&L) Carter and USD(C) Hale issued a joint memorandum [24] on the "Continuation of Defense Acquisition Workforce Improvement Initiative." The memorandum confirmed the Secretary of Defense's strategy to strengthen the capability and capacity of the Defense acquisition workforce as a major element of Defense acquisition reform.

- In 2015, HCI worked with DASD(CPP) to establish co-chaired Acquisition/HR Summits to increase understanding and standardize interpretation of workforce authorities across DOD, identify and resolve issues related to talent management of the AWF; and to increase communication among the Components.

- In June 2016, USD(AT&L) Kendall issued a memorandum [28] on "Sustaining Momentum—Continuing Efforts to Strengthen the Acquisition Workforce." This memorandum asked DOD senior leaders to responsibly sustain the AWF size (modulated by requirements), support AWF training and education, and expand their AWF talent management programs. This is the latest in a series of AWF memos that Under Secretary Kendall has issued regarding the AWF.

- Recruiting initiatives included efforts not only for "early career" (over 20 YRE) personnel, but for mid- (10 to 20 YRE)

and senior (less than 10 YRE) career personnel. These efforts have resulted in a redistribution of the AWF in terms of YRE, reducing the percentage of personnel in the senior career category.

- Increased positive degree requirements have resulted in higher education levels across the AWF, and higher percentages of personnel in terms of both bachelor's and graduate degrees.

We also noted several areas that warrant continued attention:

- The number of administrative gains and losses in recent years, particularly for Life Cycle Logistics, Information Technology, Test and Evaluation, and Facilities Engineering have resulted in overall growth in the AWF count, but no change in the number of personnel or overall DOD positions. In two particular cases (Life Cycle Logistics in DLA and Facilities Engineers in the U.S. Navy), there appear to be significant changes in how the duties of existing positions were interpreted with respect to acquisition criteria. This is neither positive or negative, but these changes do result in additional training and development requirements, and raise the question as to whether USD(AT&L) should specifically review these types of increases and ensure standardized interpretation of AWF duties, by career field, across all Components.
- Although improvements have been made in the YRE distribution of the AWF, there are still eight career fields with 50 to 65 percent of their workforce in the senior career category. DOD is working to further improve these distributions, and congressional authorities and DAWDF funding are key in continuing these efforts.

8.2 Training and Development

Training and development is the most complicated of the AWF functions, encompassing efforts to balance AWF education, training, and career development. Approximately 30 percent of all DAWDF funds obligated from FY2008 to FY2015 were in support of training and development efforts.

The largest recipient of the DAWDF funding has been the Defense Acquisition University (DAU), which has increased the number of both classroom and online courses, updated existing curricula to ensure currency with both statutory and

regulatory changes, expanded its outreach and direct support of acquisition program offices, and improved infrastructure for both better classroom facilities and the computer systems necessary for increased online training. Scheduling and attendance for classroom courses, however, is an area requiring additional attention, and will be discussed in more detail later in this section.

DOD has also pursued a number of initiatives to increase the emphasis on tracking and managing experience in determining AWF personnel qualifications, particularly for KLPs. Some of the largest initiatives in this area (KLP Qualification Boards and the Acquisition Workforce Qualification Initiative (AWQI)) are still in their initial stage of deployment and testing. Yet the intent of efforts to allow for more proactive career management and expansion of qualification criteria beyond completion of required certifications, and time in a career field position, are particularly beneficial in ensuring AWF personnel are prepared for key acquisition positions.

Efforts of particular note with respect to training and development include the following:

- Changes to DAWIA certification criteria to require that years of experience for certification be in a position for the specific career field, vice simply time in a program office or acquisition position. Several career fields have also increased the number of years required for Level III certification.

- Even with the stricter certification requirements, DOD has increased the number of personnel who meet or exceed the DAWIA certification level required for their position from 58 percent in FY2008 to 75 percent in FY2015, while reducing the number of personnel beyond the 24-month grace period for qualification from 14 percent to 3.5 percent for the same period.

- USD(AT&L)'s BBP initiatives have identified the requirement for a more comprehensive review of qualifications and experiences for personnel entering KLPs. To support this requirement, DOD has established five factors for evaluation, which include an increase in the years of experience required. DOD is also evaluating the use of KLP Qualification Boards, used in a fashion similar to Service command selection boards, to pre-identify a slate of personnel qualified to assume KLPs. To date, KLP Qualification Boards have been held by the Test and Evaluation; Production, Quality, and Manufacturing; and Life Cycle Logistics FLs, and discussions are ongoing with the other career field FLs.

- DAU has worked with the FLs to implement the AWQI, which provides an automated tool for employees, working with their supervisors, to determine training and experience goals. Subject matter experts, beginning with acquisition competencies established by acquisition FLs, translated career field competencies into measurable on-the-job products and their corresponding tasks for each acquisition career field, and have implemented these competencies and tasks into an automated AWQI eWorkbook that can be used by AWF personnel and supervisors in all Components.

- DOD has implemented a number of programs to enhance AWF personnel knowledge and development, to include the DON Executive Development Program at the University of North Carolina, and the Air Force Smart Operations for the 21st Century Executive Leadership Course at the University of Tennessee. In addition, some number of AWF personnel participate in the DOD Corporate Fellows and Training with Industry (TWI) Programs. These programs offer excellent training and insights, but can reach only a small portion of the AWF. For this reason, the broader training and experience efforts remain the key to establishing the qualifications and professionalism of the AWF.

- With congressional support, DOD is expanding the Acquisition Demonstration (AcqDemo) project to provide a contribution-based civilian personnel management system that recognizes superior performance.

- DAU has expanded training in a number of disciplines and increased its student pool beyond the AWF to comply with a congressional requirement regarding training on contingency contracting, services acquisition, the Berry Amendment, operational requirements development, interagency contracts, small business, and market research. These efforts were possible through the availability of DAWDF funds.

- Component forecasts for DAU classroom courses have differed significantly from actual FY requirements and attendees. As an example, in FY2015, the Components' forecasts requested 67,279 seats; DAU provided a cap of 52,665 seats; and Components provided 41,040 attendees. DAU is currently working with the RAND Corporation and the Components to identify ways to improve training forecasting and course

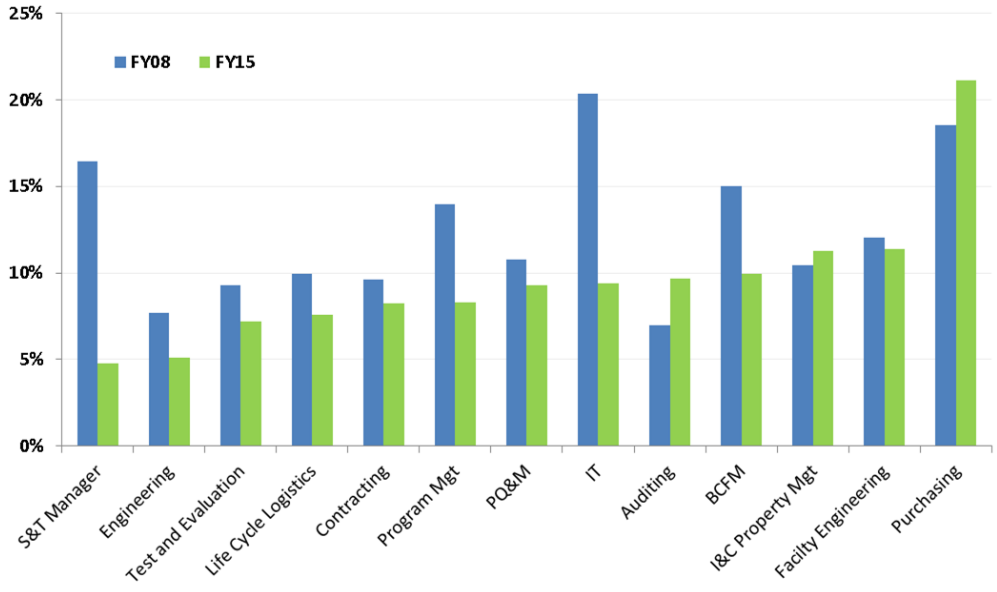
scheduling, but this is an area we recommend for additional emphasis and potentially increased involvement by the PEOs.

- DOD policy regarding Continuous Learning (CL) requires AWF personnel to attain 80 hours of CL every two years, with a goal of 40 hours each year. Current implementation allows primarily AWF members to self-select courses or events they want to fulfill these CL hours. Although some career fields have mandatory CL courses, the majority do not. We recommend DOD review whether each FL should annually develop a mandatory course (or courses) to provide an overview of key legislative and policy changes that have occurred in the previous year.

8.3 Retention

Defense AWF retention rates have improved since FY2008 in 10 of the 13 career fields (Figure 62) even though retention efforts represented only 7 percent of the total DAWDF funds reported in the annual DAWDF reports to Congress.

Figure 62. Comparison of Civilian AWF Loss Percentages, FY2008 vs. FY2015



Source: Human Capital Initiatives office, Gain/Loss Spreadsheet.

We also found that with respect to strategic workforce planning, DOD losses forecast in the April 2010 AWF Appendix to the SHCPU matched closely with actual losses, as shown in Table 27. This indicates that retention was achieved at the level anticipated in 2010, which aligns with the lower level of DAWDF funding allocated in this area.

Table 27. Delta of Career Field Projected vs. Actual Losses, as Percentage of Career Field

	FY10 Baseline	2010	2011	2012	2013	2014	2015
BCFM Loss Delta	7,874	1%	0%	2%	3%	3%	4%
Contracting Loss Delta	25,638	1%	0%	0%	1%	1%	1%
Engineering Loss Delta	36,932	0%	2%	2%	1%	1%	2%
Information Technology Loss Delta	4,873	1%	-1%	1%	1%	1%	0%
Life Cycle Logistics Loss Delta	15,741	0%	-4%	0%	0%	0%	0%
Program Management Loss Delta	10,262	0%	1%	1%	3%	2%	2%
PQM Loss Delta	8,915	0%	-1%	0%	0%	1%	1%
Test and Evaluation Loss Delta	6,706	0%	0%	0%	0%	-1%	-1%

Source: Human Capital Initiatives office.

8.4 Observations and Recommendations

Below is a compilation of the individual observations and recommendations that are included throughout the report.

Observation 1: Personnel within DOD who have DAWIA Level I, II, and III certifications, but who are not currently occupying an identified AWF position are not counted or tracked as part of the AWF.

> **Recommendation 1:** DOD should track the number and composition (career field and certification level) of these personnel to provide insight into the total number of DAWIA-certified personnel within the Department and how they transition into and out of the AWF.

Observation 2: DOD does not currently have standardized experience requirements or a centralized database of all DOD personnel who have been certified for operational requirements development.

> **Recommendation 2**: DOD should continue ongoing efforts with respect to further standardizing experience requirements for these personnel and investigate the establishment of a database, similar to the USD(AT&L) Data Mart for personnel certified for operational requirements development.

Observation 3: The significant difference in the sizes of the U.S. Navy and Marine Corps AWFs results in Marine Corps trends being obscured by U.S. Navy data trends when aggregated at the DON level.

> **Recommendation 3:** Separately track and analyze data for the U.S. Navy and Marine Corps Components, as is done for the Air Force and Army.

Observation 4: Data aggregated at the DOD level provide insight into the overall composition of the AWF, but insight into trends and unique implementation by each Component requires evaluation at the Component and career field level.

> **Recommendation 4:** Data should be compiled and analyzed by career field at both the DOD Total and the Component level for the eight Components with the largest AWF populations, as is typically displayed in the career field slides on the HCI website.

Observation 5: The joint DASD(CPP)/HCI Director–chaired Acquisition/Human Resources Summits provide a tremendously valuable forum for the identification of issues and differences, and promote a positive, joint approach to resolving issues.

> **Recommendation 5:** While continuing to perform these Acquisition/HR Summits, DOD should consider how best to integrate the Comptroller into this type of forum to ensure alignment of AWF efforts in the programming and budgeting processes.

Observation 6: Overarching USD(AT&L) and USD(P&R) guidance is sometimes implemented in different ways by the individual DOD Components. The variance is due to several factors, including individual Component General Counsel (GC) interpretation.

> **Recommendation 6:** To the level practicable/appropriate, USD(AT&L) and USD(P&R) guidance should be provided at a more specific level, to ensure more standardized implementation across Components. Significant differences in implementation among Components could be appropriate, but HCI should monitor and provide recommendations to USD(AT&L) if it believes additional uniformity should be pursued.

Observation 7: Support contractor levels for the AWF are not currently included in standard tracking and planning metrics.

> **Recommendation 7**: Components should report support contractor levels in direct support of AWF in standard annual reporting and, in conjunction with the PB23 budget exhibit development, identify total estimated contractor staffing along with military and government civilian AWF levels.

Observation 8: There is currently no overarching guidance for the Department on what factors should be considered in determining AWF requirements (the "demand signal").

> **Recommendation 8**: HCI should work with the Components and DACMs to develop guidance/policy for all Components regarding modeling for their AWF requirements. HCI should stop far short of declaring how to model, or what type of model to use, but it should publish guidance on what a demand model should consider.

Observation 9: DAWDF is an essential component of DOD's AWF life cycle efforts, supporting accessions, training, career broadening, and retention efforts. These funds have been most helpful to date with respect to bringing on new hires; developing and updating of DAU courses, and increasing training opportunities.

Observation 10: All major Component AWFs except the Army grew between FY2008 and FY2015. While the Army projected in the January 2010 PB23 that it would have a 6,509-person increase in the AWF by FY2015, it experienced a decrease of 3,636 personnel—and future projections maintain the AWF at this level.

Observation 11: DOD loss planning factors in April 2010 were extremely accurate in comparison to actual losses, indicating ability to use historical factors and AWF demographics to predict future losses.

Observation 12: The level of detail on AWF gains and losses—now maintained by the Components and tracked by HCI—provides an excellent resource for data analytics regarding where AWF personnel transition from and to.

Observation 13: A significant number of administrative gains and losses are occurring each FY, with the highest number related to the Life Cycle Logistics career field. These gains and losses can increase or decrease the AWF Count, but there is no real increase in personnel or positions. Many of the administrative changes were due to policy changes in the Components on what constitutes an AWF-coded acquisition position.

> **Recommendation 13**: HCI should review proposed administrative gains and losses prior to implementation and, when appropriate, bring them to the WMG for discussion to ensure consistency of AWF determination across DOD. Findings should be briefed to the SSB.

Observation 14: USD(AT&L) AWF risk review identified key issues not reflected in the fiscally constrained PB23 Exhibit forecasts. The Army SAE noted significant risk in almost every category.

> **Recommendation 14**: AT&L continue to request CAE risk assessments, but expand to all Components. Brief results to Service Secretaries and Chiefs and, as

appropriate, Defense agency heads prior to Service/agency POM submission to OSD.

Observation 15: There is not currently a standardized DOD risk-analysis process for identifying, classifying, and mitigating workforce risks.

Recommendation 15: The WMG work with the Components to establish a DOD AWF risk-analysis process.

Observation 16: There is not currently a mechanism that facilitates a shared understanding and commitment regarding AWF funding across the CAE, programmer, and comptroller.

Recommendation 16: Components should develop processes that identify overall AWF staffing requirements, compare them with PB23 funding levels, and identify resulting risk. These data would then be coordinated to support the joint signing of the PB23 budget exhibit by the CAE, programmer, and comptroller.

Observation 17: There is currently no structured, DOD-wide approach for FLs to ensure that all individuals within their career field receive training on any significant changes to law or policy—particularly after reaching Level III certification.

Recommendation 17: Each year, FLs develop a CL course, or courses, tailored to their career field's occupation(s) that cover(s) key updates in statute or policy and other important lessons learned. These CL courses would be a mandatory part of an AWF employee's 80 hours of CL every two years, and would be required annually.

Observation 18: Defense-related corporations have very structured training curriculums for personnel selected for a management track. Just as DOD offers industry the opportunity to attend DAU courses, it might be beneficial to see if DOD personnel could attend industry training courses.

Recommendation 18: Investigate the possibility of Defense AWF members being allowed to attend defense industry training courses, and assess industry curricula to understand key differences and areas where DOD training could potentially be expanded.

Observation 19: Work done by OSD(P&R) Force Education Directorate provides an excellent structure for tracking professional development opportunities (PDOs).

Recommendation 19: HCI work with the Components and DACMs to implement a similar structure to track and plan for AWF PDOs.

Observation 20: The large number of mid-career AWF new hires could provide insight into whether some level of permeability currently exists, and whether there are some factors that are more influential for individuals making these decisions.

> **Recommendation 20**: DOD evaluate AWF mid-career gains and losses to better understand what level of permeability might currently exist, and gain insights from these individuals on what factors might be most influential in attracting personnel.

Observation 21: Current processes for requesting DAU residence courses result in training forecasts that vary significantly from actual execution-year performance. This results in lower-than-anticipated attendance and inefficiencies in the scheduling of courses.

> **Recommendation 21**: In addition to current DAU efforts with RAND to improve training requirements development, recommend a more formal process for Priority 1 and 2 personnel to request and be scheduled for required training, and metrics to be presented at SSBs annually on requests versus courses scheduled and attendees, by Component.

Appendix A: NDAA for FY2016, Independent Study Tasking

SEC. 845. Independent Study of Implementation of Defense Acquisition Workforce Improvement Efforts.

(a) REQUIREMENT FOR STUDY.—Not later than 30 days after the date of the enactment of this Act, the Secretary of Defense shall enter into a contract with an independent research entity described in subsection (b) to carry out a comprehensive study of the strategic planning of the Department of Defense related to the defense acquisition workforce. The study shall provide a comprehensive examination of the Department's efforts to recruit, develop, and retain the acquisition workforce with a specific review of the following:

(1) The implementation of the Defense Acquisition Workforce Improvement Act (including chapter 87 of title 10, United States Code).

(2) The application of the Department of Defense Acquisition Workforce Development Fund (as established under section 1705 of title 10, United States Code).

(3) The effectiveness of professional military education programs, including fellowships and exchanges with industry.

(b) INDEPENDENT RESEARCH ENTITY.—The entity described in this subsection is an independent research entity that is a not-for-profit entity or a federally funded research and development center with appropriate expertise and analytical capability.

(c) REPORTS.—

(1) TO SECRETARY.—Not later than one year after the date of the enactment of this Act, the independent research entity shall provide to the Secretary a report containing—

(A) the results of the study required by subsection (a); and

(B) such recommendations to improve the acquisition workforce as the independent research entity considers to be appropriate.

(2) TO CONGRESS.—Not later than 30 days after receipt of the report under paragraph (1), the Secretary of Defense shall submit such report, together with any additional views or recommendations of the Secretary, to the congressional defense committees.

Appendix B: AWF Refined Packard Count Occupations

Category I Occupations
(Counted across DOD)

- 246 - Contractor Industrial Relations
- 340 - Program Management
- 346 - Logistics Management
- 511 - Auditing (DCAA only)
- 1102 - Contracting
- 1103 - Industrial Property Management
- 1104 - Property Disposal
- 1105 - Purchasing
- 1106 - Procurement Clerical & Assistance
- 1107 - Property Disposal Clerical
- 1150 - Industrial Specialist
- 1910 - Quality Assurance

Category II Occupations
(Counted in Group II organizations only)

- 150 - Geography
- 180 - Psychologist
- 301 - Administration and Program
- 334 - Computer Specialist
- 343 - Management/Program Analyst
- 391 - Telecommunications Specialist
- 392 - Communications Specialist
- 413 - Physiologist
- 501 - Financial Administration
- 505 - Financial Management
- 510 - Accounting
- 560 - Budget Analysis
- 801 - General Engineering
- 806 - Materials Engineering
- 810 - Civil Engineering
- 818 - Engineering Drafting
- 819 - Environmental Engineering

830 - Mechanical Engineering
840 - Nuclear Engineering
850 - Electrical Engineering
854 - Computer Engineering
855 - Electronics Engineering
858 - Biomedical Engineering
861 - Aerospace Engineering
871 - Naval Architecture
873 - Ship Surveying
880 - Agricultural Engineering
881 - Petroleum Engineering
890- Mining Engineering
892 - Ceramic Engineering
893 - Chemical Engineering
894 - Welding Engineering
896 - Industrial Engineering
1021 - Office Drafting
1101 - General Business & Industry
1130 - Public Utilities Specialist
1152 - Production Control
1160 - Financial Analysis
1301 - General Physical Science
1310 - Physics
1313 - Geophysics
1315 - Hydrology
1320 - Chemistry
1321 - Metallurgy
1330 - Space Science
1350 - Geology
1360 - Oceanography
1361 - Navigational Information
1370 - Cartography
1372 - Geodesy
1373 - Land Surveying
1510 - Actuary
1515 - Operations Research
1520 - Mathematics
1529 - Mathematical Statistician
1530 - Statistician
1550 - Computer Science
2003 - Supply Program Management
2150 - Transportation Operations

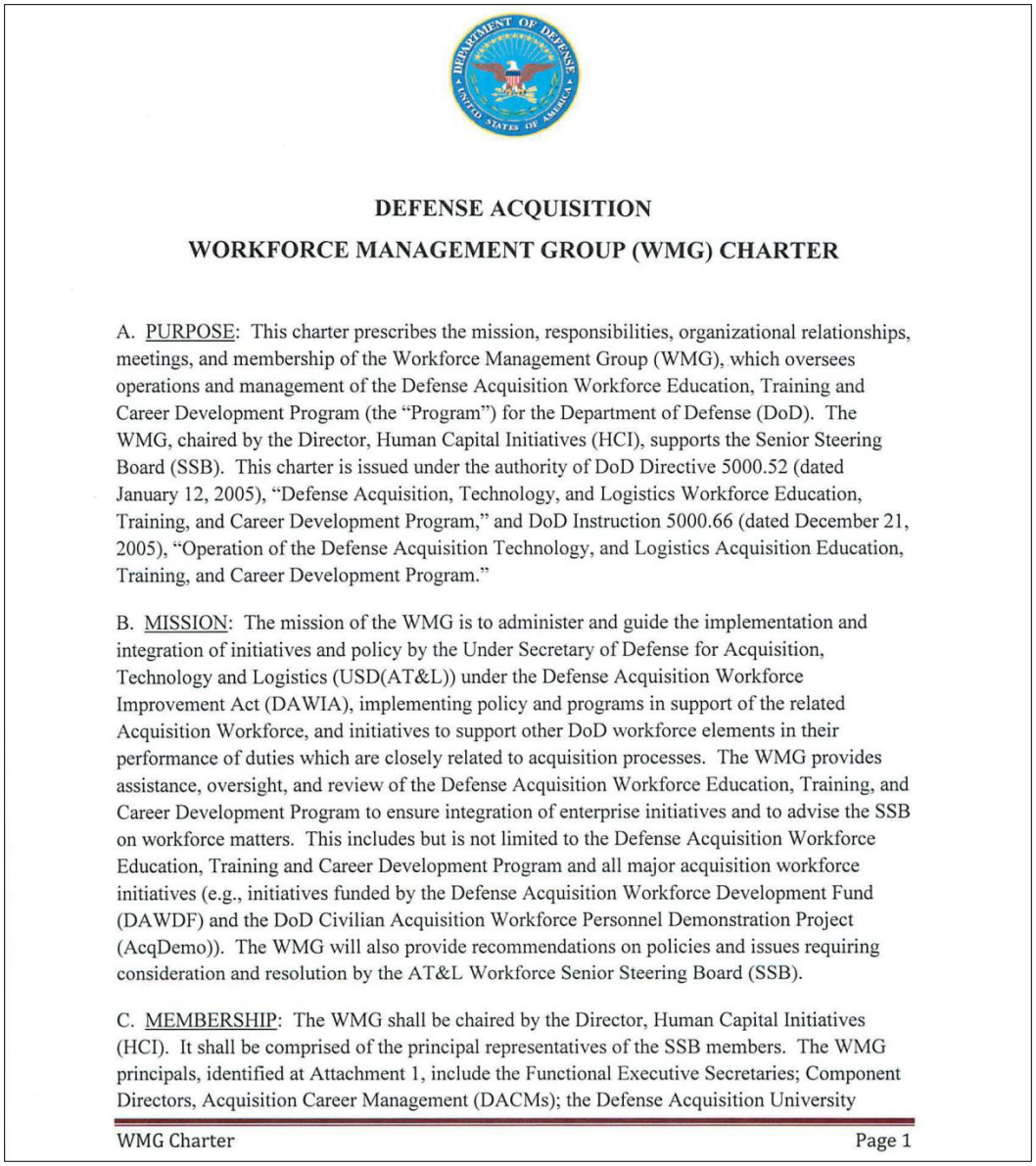
Source: Identification of DOD Key Acquisition and Technology Workforce [4]

Appendix C: Personnel Interviewed

Name	Position	Organization
Bill Greenwalt	Staff	Senate Armed Services Committee
Arun Seraphin	Staff	Senate Armed Services Committee
Lynne Williams	Staff (former)	House Armed Services Committee
Cathy Garman	Staff (retired)	House Armed Services Committee
Rene' K. Thomas-Rizzo	Director, Human Capital Initiatives (HCI)	OUSD(AT&L)
Garry Shafovaloff	Deputy Director, HCI	OUSD(AT&L)
Eric Russi	Director for Professional Military Education	OSD(P&R) (FE&T)
Eric Briggs	SECDEF Corporate Fellows Program	OSD(SDCFP)
Pamela Jamieson	Human Capital Manager, HCI	OUSD(AT&L)
Adrienne Evertson	HCI Data/Analysis	OUSD(AT&L)
Charles A. Sumpter (Ctr)	Functional Leader/FIPT Liaison, HCI	OUSD(AT&L)
Catherine Dunleavy	Human Capital Manager, HCI	OUSD(AT&L)
Roy Wood, PhD	Acting Vice President	DAU
Philip S. Anton, PhD	Deputy Director, Acquisition Strategy and Efficiency Analysis	OUSD(AT&L), Acquisition Policy Analysis Center (APAC)
Dan Davis, PhD	CNA Scientific Analyst to USD(AT&L)	OUSD(AT&L)/ APAC
Doug Buettner	Senior Acquisition Engineer	OUSD(AT&L)/ APAC

Joe Johnson	Chief of Staff	DAU
Mark Whiteside	Chief Financial Officer	DAU
William Parker	Director, Foundational Learning Directorate	DAU
Capt. Mike Hocker	Deputy Director, Learning Capabilities Integration Center (LCIC) Business Systems	DAU
Craig Spisak	Deputy Army DACM; Director, U.S. Army Acquisition Support Center (USAASC)	Army DACM Office
Col. Lee J. MacGregor	Deputy Director, U.S. Army Acquisition Support Center (USAASC)	Army DACM Office
Joan L. Sable	Chief, Human Capital Initiatives	Army DACM Office
Aaron Hutson	Communications Director	4th Estate DACM Office
Jonathan Higgins	Senior Lead Analyst	4th Estate DACM Office
Michelle Trigg	Deputy DACM	Air Force DACM Office
Maj. Robinson Hughes	Lead Analyst/DAWDF Manager	Air Force DACM Office
Col. Gary N. Leong	PM, S&E, PQM	Air Force DACM Office
Jeffery Sanders		Air Force DACM Office
Kim K. Saner (CTR)	Personnel expert	Air Force DACM Office
Mark Deskins	Navy DACM	Navy DACM Office
Sylvia Bentley	Chief of Staff	Navy DACM Office
Barb Smith	Program Manager, Acquisition Workforce Qualification Initiative (AWQI)	DAU
Eleanor Spector	Vice President, Contracts	Fluor Government Group International, Inc.
John Etherton	President	Etherton and Associates, Inc.

Appendix D: Workforce Management Group Charter



DEFENSE ACQUISITION

WORKFORCE MANAGEMENT GROUP (WMG) CHARTER

A. PURPOSE: This charter prescribes the mission, responsibilities, organizational relationships, meetings, and membership of the Workforce Management Group (WMG), which oversees operations and management of the Defense Acquisition Workforce Education, Training and Career Development Program (the "Program") for the Department of Defense (DoD). The WMG, chaired by the Director, Human Capital Initiatives (HCI), supports the Senior Steering Board (SSB). This charter is issued under the authority of DoD Directive 5000.52 (dated January 12, 2005), "Defense Acquisition, Technology, and Logistics Workforce Education, Training, and Career Development Program," and DoD Instruction 5000.66 (dated December 21, 2005), "Operation of the Defense Acquisition Technology, and Logistics Acquisition Education, Training, and Career Development Program."

B. MISSION: The mission of the WMG is to administer and guide the implementation and integration of initiatives and policy by the Under Secretary of Defense for Acquisition, Technology and Logistics (USD(AT&L)) under the Defense Acquisition Workforce Improvement Act (DAWIA), implementing policy and programs in support of the related Acquisition Workforce, and initiatives to support other DoD workforce elements in their performance of duties which are closely related to acquisition processes. The WMG provides assistance, oversight, and review of the Defense Acquisition Workforce Education, Training, and Career Development Program to ensure integration of enterprise initiatives and to advise the SSB on workforce matters. This includes but is not limited to the Defense Acquisition Workforce Education, Training and Career Development Program and all major acquisition workforce initiatives (e.g., initiatives funded by the Defense Acquisition Workforce Development Fund (DAWDF) and the DoD Civilian Acquisition Workforce Personnel Demonstration Project (AcqDemo)). The WMG will also provide recommendations on policies and issues requiring consideration and resolution by the AT&L Workforce Senior Steering Board (SSB).

C. MEMBERSHIP: The WMG shall be chaired by the Director, Human Capital Initiatives (HCI). It shall be comprised of the principal representatives of the SSB members. The WMG principals, identified at Attachment 1, include the Functional Executive Secretaries; Component Directors, Acquisition Career Management (DACMs); the Defense Acquisition University

WMG Charter Page 1

(DAU) President; and other Government officials the Chair considers appropriate. The Director, HCI, as Chair of the WMG, may establish groups to work particular issues on an ad-hoc or standing basis. The purpose, mission, leadership, governance, membership, organizational relationships, roles, and meetings of the groups are at the discretion of the Chair of the WMG.

D. ORGANIZATIONAL RELATIONSHIPS:

1. While policy and oversight decisions regarding the Defense Acquisition Workforce Education, Training and Career Development Program ultimately reside at the SSB, the Director, HCI, will oversee the integration, management, and implementation of the Program and related activities. The SSB shall provide the Director, HCI, with strategic direction for the Program and will resolve policy and resource issues identified by the Components/Agencies, Functional Executive Secretaries, or the WMG.

2. The Director, HCI, will coordinate and collaborate with manpower, comptroller, human resources, and other Office of the Secretary of Defense (OSD) functions as appropriate on issues involving Departmental personnel regulations, policy, resourcing, and management affecting civilians or military members.

E. WMG ROLES: The WMG shall have the following roles:

1. Annually, the WMG will establish a set of priority policy and programmatic initiatives.

2. Provide oversight and management of enterprise-wide initiatives designed to achieve DoD strategic objectives.

3. Provide recommendations to the Director, HCI, and the SSB, to facilitate accomplishment of Program objectives.

4. Establish and review measures of performance periodically.

5. Assist Director, HCI, Functional Leaders, DACMs, and DAU in formulating enterprise-wide, uniform, policies and standards for the Acquisition Program; and assist the Functional Leaders in formulating policy and standards for the Acquisition Program.

6. Assist Director, HCI, Functional Executive Secretaries, DACMs, and DAU in the annual update to Congress of the acquisition workforce.

7. Provide recommendations to the SSB regarding management and use of the Defense Acquisition Workforce Development Fund (DAWDF) to include:

   a. Ensuring alignment with strategic objective;
   b. Developing appropriate guidance concerning the administration of the Fund;

c. Identifying funding levels necessary to support Component, Agency, DAU, and Functional Leader initiatives to achieve strategic objectives; and
d. Providing recommendations on changes to initiatives and new out-of-cycle requirements.

8. Annually, review and provide recommendations for the approval of the DAWDF Program Plan. The WMG will ensure initiatives and execution plans support statutory intent and DoD strategic objectives. This review and approval process supports satisfying 10 U.S.C. 1705 Fund management requirements.

9. Provide recommendations for approval of new DAWDF initiatives as required during the year of execution.

10. Based upon strategic direction from the SSB, the Director, HCI, will evaluate recommendations from the WMG and prioritize functional and component initiatives that require additional resources or changes to current program policies, including training courses, certification criteria, training hours, and/or other matters that affect DAU capacity and funding. The Director, HCI, will determine if unresolved issues regarding the foregoing need to be elevated to the SSB.

11. Resolve policy concerns and issues regarding course registration, quotas, allocations, etc.

F. MEETINGS: At the call of the chair, the WMG shall meet at least quarterly. Whenever possible, the WMG will meet at least 2 weeks prior to the SSB in order to resolve questions and issues regarding any proposals being presented. The Director, HCI, will coordinate and publish meeting agendas one week prior to each meeting, and will ensure draft minutes and action items are provided within 10 working days of each meeting. Final minutes and action items will be disseminated within 30 working days of completing the scheduled meeting.

Under Secretary of Defense for Acquisition, Technology and Logistics

P D

7/29/11
DATE

Distribution: SSB and WMG Membership

Attachment 1

Defense Acquisition Workforce Management Group Principals

Director, AT&L HCI (Chair)
Director, Acquisition Career Management (Army)
Director, Acquisition Career Management (DoN)
Director, Acquisition Career Management (Air Force)
Director, Acquisition Career Management (4th Estate)
Functional Executive Secretary, Acquisition Management
Functional Executive Secretary, Technical Management
Functional Executive Secretary, Contracting
Functional Executive Secretary, Business
Functional Executive Secretary, Information Technology and Software Acquisition Management
Functional Executive Secretary, Audit
Functional Executive Secretary, Science and Technology
Functional Executive Secretary, Life Cycle Logistics
Functional Executive Secretary, Facilities Engineering
Functional Executive Secretary, International Acquisition
Functional Executive Secretary, Test and Evaluation
President, Defense Acquisition University

Standing Invitations:
OSD Personnel and Readiness (Manpower & Civilian Personnel Policy)
OSD Comptroller

Appendix E: January 2010 PB23 Projections versus FY2015 Actuals, by Service

Air Force	FY15 AWF Size			
	Jan 2010 PB23	Actual	Delta	% Delta
Auditing	-	-	-	N/A
BCFM	2,296	2,398	102	4%
Contracting	7,859	8,534	675	9%
Engineering	7,968	8,903	935	12%
Facilities Engineering	4	166	162	4050%
Industrial/Contract Property Mgt	28	20	(8)	-29%
Information Technology	1,047	1,133	86	8%
Life Cycle Logistics	2,439	3,028	589	24%
Other	2,701	6	(2,695)	-100%
PQM	389	331	(58)	-15%
Program Management	5,518	5,366	(152)	-3%
Purchasing	61	79	18	30%
S&T Manager	42	2,674	2,632	6267%
Test and Evaluation	2,608	3,027	419	16%
Grand Total	32,960	35,665	2,705	8%

Army	FY15 AWF Size			
	Jan 2010 PB23	Actual	Delta	% Delta
Auditing	-	-	-	N/A
BCFM	3,022	1,906	(1,116)	-37%
Contracting	9,756	8,010	(1,746)	-18%
Engineering	11,401	8,986	(2,415)	-21%
Facilities Engineering	1,808	1,497	(311)	-17%
Industrial/Contract Property Mgt	83	45	(38)	-46%
Information Technology	2,008	1,682	(326)	-16%
Life Cycle Logistics	8,895	7,201	(1,694)	-19%
Other	509	11	(498)	-98%
PQM	1,983	1,393	(590)	-30%
Program Management	3,882	3,281	(601)	-15%
Purchasing	339	272	(67)	-20%
S&T Manager	-	393	393	N/A
Test and Evaluation	2,354	1,956	(398)	-17%
Grand Total	46,040	36,633	(9,407)	-20%

Marine Corps	FY15 AWF Size			
	Jan 2010 PB23	Actual	Delta	% Delta
Auditing	20	-	(20)	N/A
BCFM	199	219	20	10%
Contracting	489	526	37	8%
Engineering	554	365	(189)	-34%
Facilities Engineering	10	32	22	220%
Industrial/Contract Property Mgt	3	-	(3)	N/A
Information Technology	227	227	-	0%
Life Cycle Logistics	432	444	12	3%
Other	-	-	-	N/A
PQM	34	33	(1)	-3%
Program Management	1,041	800	(241)	-23%
Purchasing	65	60	(5)	-8%
S&T Manager	-	2	2	N/A
Test and Evaluation	109	121	12	11%
Grand Total	3,183	2,829	(354)	-11%

Navy	FY15 AWF Size			
	Jan 2010 PB23	Actual	Delta	% Delta
Auditing	7	-	(7)	N/A
BCFM	2,262	2,351	89	4%
Contracting	5,456	5,588	132	2%
Engineering	19,915	20,816	901	5%
Facilities Engineering	4,739	5,229	490	10%
Industrial/Contract Property Mgt	64	61	(3)	-5%
Information Technology	1,070	2,538	1,468	137%
Life Cycle Logistics	4,595	5,716	1,121	24%
Other	-	1	1	N/A
PQM	2,066	2,777	711	34%
Program Management	4,125	5,535	1,410	34%
Purchasing	466	435	(31)	-7%
S&T Manager	-	482	482	N/A
Test and Evaluation	2,718	3,207	489	18%
Grand Total	47,483	54,736	7,253	15%

Source: Human Capital Initiatives office, PB23 data

Appendix F: January 2010 PB23 Projections versus Actuals, for four largest Defense Agencies

DCAA	FY15 AWF Size			
	Jan 2010 PB23	Actual	Delta	% Delta
Auditing	3,773	4,315	542	14%
BCFM			-	N/A
Contracting		1	1	N/A
Engineering			-	N/A
Facilities Engineering			-	N/A
Industrial/Contract Property Mgt			-	N/A
Information Technology			-	N/A
Life Cycle Logistics			-	N/A
Other			-	N/A
PQM			-	N/A
Program Management			-	N/A
Purchasing		6	6	N/A
S&T Manager			-	N/A
Test and Evaluation			-	N/A
Grand Total	3,773	4,322	549	15%

DCMA	FY15 AWF Size			
	Jan 2010 PB23	Actual	Delta	% Delta
Auditing	-	-	-	N/A
BCFM	354	219	(135)	-38%
Contracting	3,042	2,964	(78)	-3%
Engineering	786	1,181	395	50%
Facilities Engineering	1	2	1	100%
Industrial/Contract Property Mgt	328	268	(60)	-18%
Information Technology	178	197	19	11%
Life Cycle Logistics	38	127	89	234%
Other	-	25	25	N/A
PQM	5,200	4,353	(847)	-16%
Program Management	442	393	(49)	-11%
Purchasing	2	31	29	1450%
S&T Manager	17	4	(13)	N/A
Test and Evaluation	21	9	(12)	-57%
Grand Total	10,409	9,773	(636)	-6%

DLA	FY15 AWF Size			
	Jan 2010 PB23	Actual	Delta	% Delta
Auditing	1	-	(1)	N/A
BCFM	13	1	(12)	-92%
Contracting	3,843	3,257	(586)	-15%
Engineering	15	11	(4)	-27%
Facilities Engineering	6	1	(5)	-83%
Industrial/Contract Property Mgt	17	3	(14)	-82%
Information Technology	3	113	110	3667%
Life Cycle Logistics	45	2,554	2,509	5576%
Other	34	-	(34)	-100%
PQM	804	868	64	8%
Program Management	5	113	108	2160%
Purchasing	101	398	297	294%
S&T Manager	-	9	9	N/A
Test and Evaluation	-	1	1	N/A
Grand Total	4,887	7,329	2,442	50%

MDA	FY15 AWF Size			
	Jan 2010 PB23	Actual	Delta	% Delta
Auditing	-	-	-	N/A
BCFM	355	277	(78)	-22%
Contracting	355	199	(156)	-44%
Engineering	1,221	582	(639)	-52%
Facilities Engineering	5	42	37	740%
Industrial/Contract Property Mgt	-	1	1	N/A
Information Technology	88	51	(37)	-42%
Life Cycle Logistics	80	71	(9)	-11%
Other	-	1	1	N/A
PQM	57	54	(3)	-5%
Program Management	540	349	(191)	-35%
Purchasing	3	1	(2)	-67%
S&T Manager	15	4	(11)	N/A
Test and Evaluation	320	260	(60)	-19%
Grand Total	3,039	1,892	(1,147)	-38%

Source: Human Capital Initiatives office, PB23 data

Appendix G: Comparison of PB23 Estimates for FY2015 with Actuals, for Major Components

Air Force	Air Force PB23 Estimates for FY2015							2015	Deltas from PB23 Estimates for FY2015						
	2009	2010	2011	2012	2013	2014	2015	Actual	2015	2014	2013	2012	2011	2010	2009
Auditing	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
BCFM	2,192	2,296	-	2,267	2,287	2,294	2,406	**2,398**	(8)	104	111	131	-	102	206
Contracting	7,723	7,859	-	7,938	7,982	7,996	8,333	**8,534**	201	538	552	596	-	675	811
Engineering	7,497	7,968	-	8,041	8,273	8,176	8,690	**8,903**	213	727	630	862	-	935	1,406
Facilities Engineering	4	4	-	6	4	3	5	**166**	161	163	162	160	-	162	162
I&CPM	28	28	-	26	24	23	23	**20**	(3)	(3)	(4)	(6)	-	(8)	(8)
IT	1,026	1,047	-	1,195	1,249	1,223	1,242	**1,133**	(109)	(90)	(116)	(62)	-	86	107
Life Cycle Logistics	2,335	2,439	-	2,836	2,845	2,782	2,944	**3,028**	84	246	183	192	-	589	693
Other	3,391	2,701	-	-	1	-	-	**6**	6	6	5	6	-	(2,695)	(3,385)
PQM	387	389	-	372	363	298	312	**331**	19	33	(32)	(41)	-	(58)	(56)
PM	5,340	5,518	-	5,504	5,601	5,599	5,571	**5,366**	(205)	(233)	(235)	(138)	-	(152)	26
Purchasing	60	61	-	118	113	112	109	**79**	(30)	(33)	(34)	(39)	-	18	19
S&T Manager	42	42	-	2,566	2,670	2,605	2,732	**2,674**	(58)	69	4	108	-	2,632	2,632
T&E	2,580	2,608	-	3,039	3,038	3,018	3,128	**3,027**	(101)	9	(11)	(12)	-	419	447
Grand Total	32,605	32,960	-	33,908	34,450	34,129	35,495	**35,665**	170	1,536	1,215	1,757	-	2,705	3,060

* - Air Force FY2011 PB23 not available

Army	Army PB23 Estimates for FY2015							2015	Deltas from PB23 Estimates for FY2015						
	2009	2010	2011	2012	2013	2014	2015	Actual	2015	2014	2013	2012	2011	2010	2009
Auditing	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
BCFM	3,685	3,022	2,808	2,722	2,660	2,488	1,931	**1,906**	(25)	(582)	(754)	(816)	(902)	(1,116)	(1,779)
Contracting	10,073	9,756	10,127	10,311	9,946	9,155	8,265	**8,010**	(255)	(1,145)	(1,936)	(2,301)	(2,117)	(1,746)	(2,063)
Engineering	11,814	11,401	10,406	9,997	9,643	10,299	9,231	**8,986**	(245)	(1,313)	(657)	(1,011)	(1,420)	(2,415)	(2,828)
Facilities Engineering	1,000	1,808	1,631	1,760	1,720	1,776	1,564	**1,497**	(67)	(279)	(223)	(263)	(134)	(311)	497
I&CPM	90	83	81	72	72	57	51	**45**	(6)	(12)	(27)	(27)	(36)	(38)	(45)
IT	1,984	2,008	2,151	2,371	2,311	2,010	1,693	**1,682**	(11)	(328)	(629)	(689)	(469)	(326)	(302)
Life Cycle Logistics	8,397	8,895	8,796	8,902	8,581	8,623	7,474	**7,201**	(273)	(1,422)	(1,380)	(1,701)	(1,595)	(1,694)	(1,196)
Other	532	509	40	350	342	13	12	**11**	(1)	(2)	(331)	(339)	(29)	(498)	(521)
PQM	1,952	1,983	2,024	2,006	1,768	1,692	1,406	**1,393**	(13)	(299)	(375)	(613)	(631)	(590)	(559)
PM	4,681	3,882	3,512	3,542	3,398	3,465	3,385	**3,281**	(104)	(184)	(117)	(261)	(231)	(601)	(1,400)
Purchasing	339	339	300	357	344	350	250	**272**	22	(78)	(72)	(85)	(28)	(67)	(67)
S&T Manager	-	-	-	-	-	-	-	**393**	393	393	393	393	393	393	393
T&E	2,231	2,354	2,341	2,302	2,119	2,228	2,021	**1,956**	(65)	(272)	(163)	(346)	(385)	(398)	(275)
Grand Total	46,778	46,040	44,217	44,692	42,904	42,156	37,283	**36,633**	(650)	(5,523)	(6,271)	(8,059)	(7,584)	(9,407)	(10,145)

USMC	USMC PB23 Estimates for FY2015							2015	Deltas from PB23 Estimates for FY2015						
	2009	2010	2011	2012	2013	2014	2015	Actual	2015	2014	2013	2012	2011	2010	2009
Auditing	-	20	-	-	-	-	-	**-**	-	-	-	-	-	(20)	-
BCFM	-	199	211	211	244	216	224	**219**	(5)	3	(25)	8	8	20	219
Contracting	-	489	541	541	547	535	499	**526**	27	(9)	(21)	(15)	(15)	37	526
Engineering	-	554	442	446	423	393	388	**365**	(23)	(28)	(58)	(81)	(77)	(189)	365
Facilities Engineering	-	10	22	22	26	40	40	**32**	(8)	(8)	6	10	10	22	32
I&CPM	-	3	4	4	3	2	1	**-**	(1)	(2)	(3)	(4)	(4)	(3)	-
IT	-	227	232	231	216	222	222	**227**	5	5	11	(4)	(5)	-	227
Life Cycle Logistics	-	432	443	444	458	439	451	**444**	(7)	5	(14)	-	1	12	444
Other	-	-	-	-	-	-	-	**-**	-	-	-	-	-	-	-
PQM	-	34	32	32	24	26	36	**33**	(3)	7	9	1	1	(1)	33
PM	-	1,041	896	900	847	816	801	**800**	(1)	(16)	(47)	(100)	(96)	(241)	800
Purchasing	-	65	71	71	57	66	58	**60**	2	(6)	3	(11)	(11)	(5)	60
S&T Manager	-	-	-	-	2	-	3	**2**	(1)	2	-	2	2	2	2
T&E	-	109	134	134	139	106	119	**121**	2	15	(18)	(13)	(13)	12	121
Grand Total	-	3,183	3,028	3,036	2,986	2,861	2,842	**2,829**	(13)	(32)	(157)	(207)	(199)	(354)	2,829

USN	USN PB23 Estimates for FY2015							2015	Deltas from PB23 Estimates for FY2015						
	2009	2010	2011	2012	2013	2014	2015	Actual	2015	2014	2013	2012	2011	2010	2009
Auditing	7	7	-	-	-	-	-	**-**	-	-	-	-	-	(7)	(7)
BCFM	2,449	2,262	2,552	2,548	2,372	2,209	2,196	**2,351**	155	142	(21)	(197)	(201)	89	(98)
Contracting	5,880	5,456	5,454	5,290	5,134	4,914	5,008	**5,588**	580	674	454	298	134	132	(292)
Engineering	20,390	19,915	19,700	19,666	19,470	19,189	20,171	**20,816**	645	1,627	1,346	1,150	1,116	901	426
Facilities Engineering	4,735	4,739	5,415	5,252	5,291	5,251	5,232	**5,229**	(3)	(22)	(62)	(23)	(186)	490	494
I&CPM	67	64	76	76	73	57	52	**61**	9	4	(12)	(15)	(15)	(3)	(6)
IT	1,256	1,070	1,636	1,652	1,748	1,849	1,958	**2,538**	580	689	790	886	902	1,468	1,282
Life Cycle Logistics	5,073	4,595	4,965	4,995	5,045	5,216	5,462	**5,716**	254	500	671	721	751	1,121	643
Other	-	-	-	-	-	-	-	**1**	1	1	1	1	1	1	1
PQM	2,051	2,066	2,249	2,300	2,371	2,455	2,521	**2,777**	256	322	406	477	528	711	726
PM	5,160	4,125	4,964	4,971	4,947	4,856	5,354	**5,535**	181	679	588	564	571	1,410	375
Purchasing	553	466	481	472	452	436	436	**435**	(1)	(1)	(17)	(37)	(46)	(31)	(118)
S&T Manager	-	-	48	49	45	12	233	**482**	249	470	437	433	434	482	482
T&E	2,832	2,718	2,900	2,900	2,907	2,892	2,967	**3,207**	240	315	300	307	307	489	375
Grand Total	50,453	47,483	50,440	50,171	49,855	49,336	51,590	**54,736**	3,146	5,400	4,881	4,565	4,296	7,253	4,283

DCAA	DCAA PB23 Estimates for FY2015							2015	Deltas from PB23 Estimates for FY2015						
	2009	2010	2011	2012	2013	2014	2015	Actual	2015	2014	2013	2012	2011	2010	2009
Auditing	3,769	3,781	3,644	4,695	4,645	4,109	4,052	**4,315**	263	206	(330)	(380)	671	534	546
BCFM	-	-	-	-	-	-	-	**-**	-	-	-	-	-	-	-
Contracting	-	-	-	-	-	-	-	**1**	1	1	1	1	1	1	1
Engineering	-	-	-	-	-	-	-	**-**	-	-	-	-	-	-	-
Facilities Engineering	-	-	-	-	-	-	-	**-**	-	-	-	-	-	-	-
I&CPM	-	-	-	-	-	-	-	**-**	-	-	-	-	-	-	-
IT	-	-	-	-	-	-	-	**-**	-	-	-	-	-	-	-
Life Cycle Logistics	-	-	-	-	-	-	-	**-**	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	**-**	-	-	-	-	-	-	-
PQM	-	-	-	-	-	-	-	**-**	-	-	-	-	-	-	-
PM	-	-	-	-	-	-	-	**-**	-	-	-	-	-	-	-
Purchasing	-	-	-	-	-	-	-	**6**	6	6	6	6	6	6	6
S&T Manager	-	-	-	-	-	-	-	**-**	-	-	-	-	-	-	-
T&E	-	-	-	-	-	-	-	**-**	-	-	-	-	-	-	-
Grand Total	3,769	3,781	3,644	4,695	4,645	4,109	4,052	**4,322**	270	213	(323)	(373)	678	541	553

DCMA	DCMA PB23 Estimates for FY2015							2015	Deltas from PB23 Estimates for FY2015						
	2009	2010	2011	2012	2013	2014	2015	Actual	2015	2014	2013	2012	2011	2010	2009
Auditing	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
BCFM	473	354	206	173	244	217	193	219	26	2	(25)	46	13	(135)	(254)
Contracting	2,564	3,042	3,112	2,969	3,022	2,558	2,635	2,964	329	406	(58)	(5)	(148)	(78)	400
Engineering	681	786	1,117	1,049	1,169	1,012	1,057	1,181	124	169	12	132	64	395	500
Facilities Engineering	4	1	1	-	-	-	-	2	2	2	2	2	1	1	(2)
I&CPM	295	328	363	312	339	231	225	268	43	37	(71)	(44)	(95)	(60)	(27)
IT	170	178	180	156	191	172	173	197	24	25	6	41	17	19	27
Life Cycle Logistics	50	38	55	135	169	141	109	127	18	(14)	(42)	(8)	72	89	77
Other	-	-	10	10	10	11	-	25	25	14	15	15	15	25	25
PQM	4,109	5,200	4,801	4,823	4,993	3,870	3,852	4,353	501	483	(640)	(470)	(448)	(847)	244
PM	396	442	364	335	434	406	382	393	11	(13)	(41)	58	29	(49)	(3)
Purchasing	2	2	11	9	-	5	-	31	31	26	31	22	20	29	29
S&T Manager	24	17	11	5	14	7	-	4	4	(3)	(10)	(1)	(7)	(13)	(20)
T&E	26	21	11	7	5	5	-	9	9	4	4	2	(2)	(12)	(17)
Grand Total	8,794	10,409	10,242	9,983	10,590	8,635	8,626	9,773	1,147	1,138	(817)	(210)	(469)	(636)	979

DLA	DLA PB23 Estimates for FY2015							2015	Deltas from PB23 Estimates for FY2015						
	2009	2010	2011	2012	2013	2014	2015	Actual	2015	2014	2013	2012	2011	2010	2009
Auditing	1	1	5	5	8	5	-	-	-	(5)	(8)	(5)	(5)	(1)	(1)
BCFM	13	13	16	16	-	4	4	1	(3)	(3)	1	(15)	(15)	(12)	(12)
Contracting	3,843	3,843	3,319	3,322	3,162	3,126	3,026	3,257	231	131	95	(65)	(62)	(586)	(586)
Engineering	15	15	6	6	60	31	32	11	(21)	(20)	(49)	5	5	(4)	(4)
Facilities Engineering	6	6	10	10	1	1	52	1	(51)	-	-	(9)	(9)	(5)	(5)
I&CPM	17	17	17	17	43	55	53	3	(50)	(52)	(40)	(14)	(14)	(14)	(14)
IT	3	3	-	-	-	3	2	113	111	110	113	113	113	110	110
Life Cycle Logistics	45	45	145	145	2,500	2,040	1,153	2,554	1,401	514	54	2,409	2,409	2,509	2,509
Other	34	34	60	60	93	93	10	-	(10)	(93)	(93)	(60)	(60)	(34)	(34)
PQM	804	804	855	855	845	822	815	868	53	46	23	13	13	64	64
PM	5	5	6	6	15	5	13	113	100	108	98	107	107	108	108
Purchasing	101	101	390	390	369	418	394	398	4	(20)	29	8	8	297	297
S&T Manager	-	-	-	-	-	-	-	9	9	9	9	9	9	9	9
T&E	-	-	15	15	32	12	12	1	(11)	(11)	(31)	(14)	(14)	1	1
Grand Total	4,887	4,887	4,844	4,847	7,128	6,615	5,566	7,329	1,763	714	201	2,482	2,485	2,442	2,442

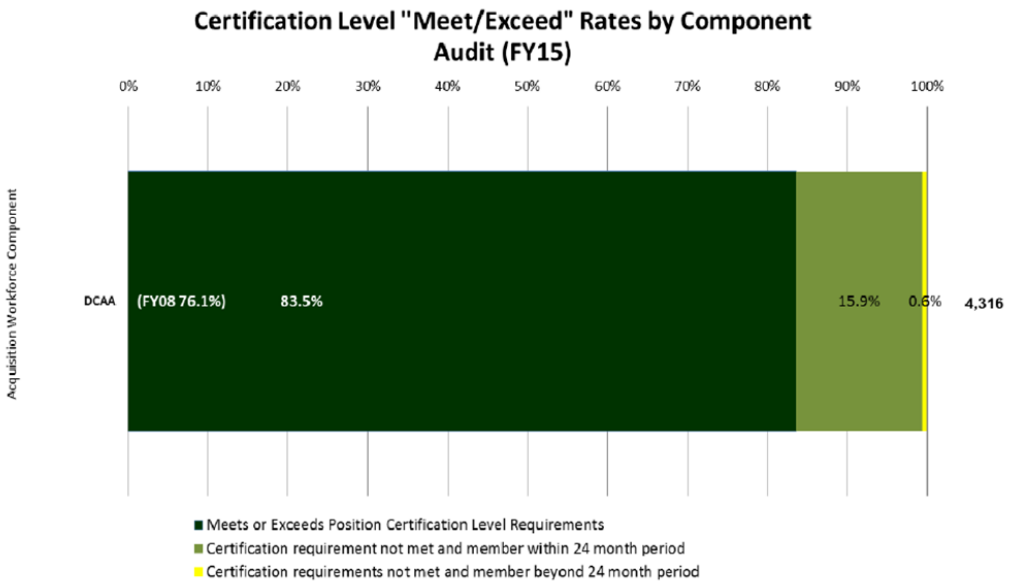
MDA	MDA PB23 Estimates for FY2015							2015	Deltas from PB23 Estimates for FY2015						
	2009	2010	2011	2012	2013	2014	2015	Actual	2015	2014	2013	2012	2011	2010	2009
Auditing	-	-	-	-	-	1	1	-	(1)	(1)	-	-	-	-	-
BCFM	355	355	295	337	285	293	338	277	(61)	(16)	(8)	(60)	(18)	(78)	(78)
Contracting	355	355	232	243	221	208	227	199	(28)	(9)	(22)	(44)	(33)	(156)	(156)
Engineering	1,186	1,221	738	791	692	622	686	582	(104)	(40)	(110)	(209)	(156)	(639)	(604)
Facilities Engineering	5	5	5	11	20	31	47	42	(5)	11	22	31	37	37	37
I&CPM	-	-	-	-	-	-	-	1	1	1	1	1	1	1	1
IT	45	88	44	44	45	50	61	51	(10)	1	6	7	7	(37)	6
Life Cycle Logistics	47	80	54	57	61	69	88	71	(17)	2	10	14	17	(9)	24
Other	14	-	728	593	-	-	-	1	1	1	1	(592)	(727)	1	(13)
PQM	10	57	30	40	44	48	61	54	(7)	6	10	14	24	(3)	44
PM	530	540	294	359	327	333	397	349	(48)	16	22	(10)	55	(191)	(181)
Purchasing	3	3	1	1	1	1	1	1	-	-	-	-	-	(2)	(2)
S&T Manager	15	15	1	4	4	2	2	4	2	2	-	-	3	(11)	(11)
T&E	235	320	242	253	263	255	304	260	(44)	5	(3)	7	18	(60)	25
Grand Total	2,800	3,039	2,664	2,733	1,963	1,913	2,213	1,892	(321)	(21)	(71)	(841)	(772)	(1,147)	(908)

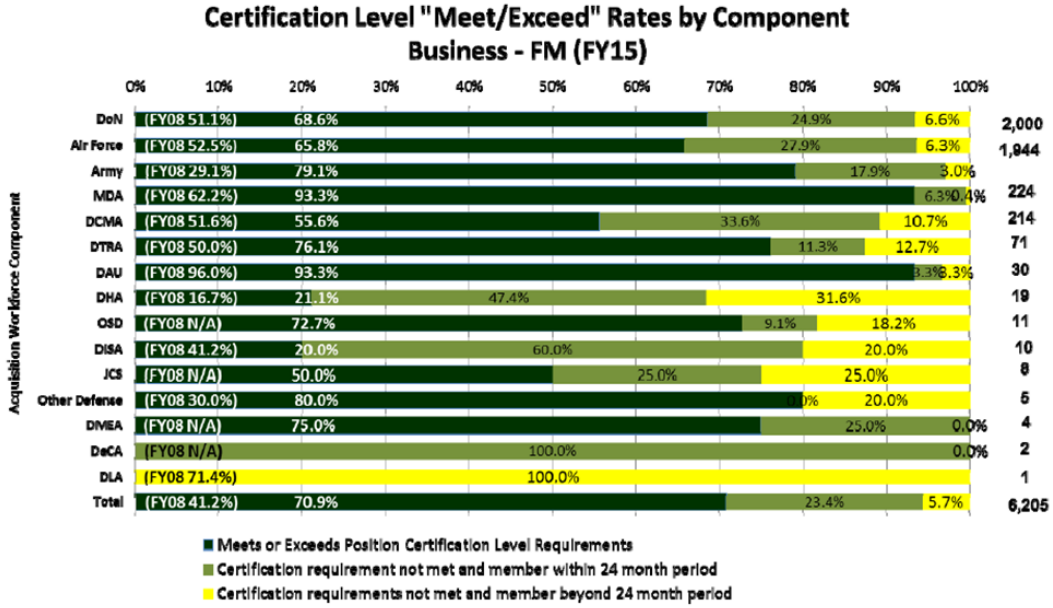
Source: Human Capital Initiatives office, PB23 data

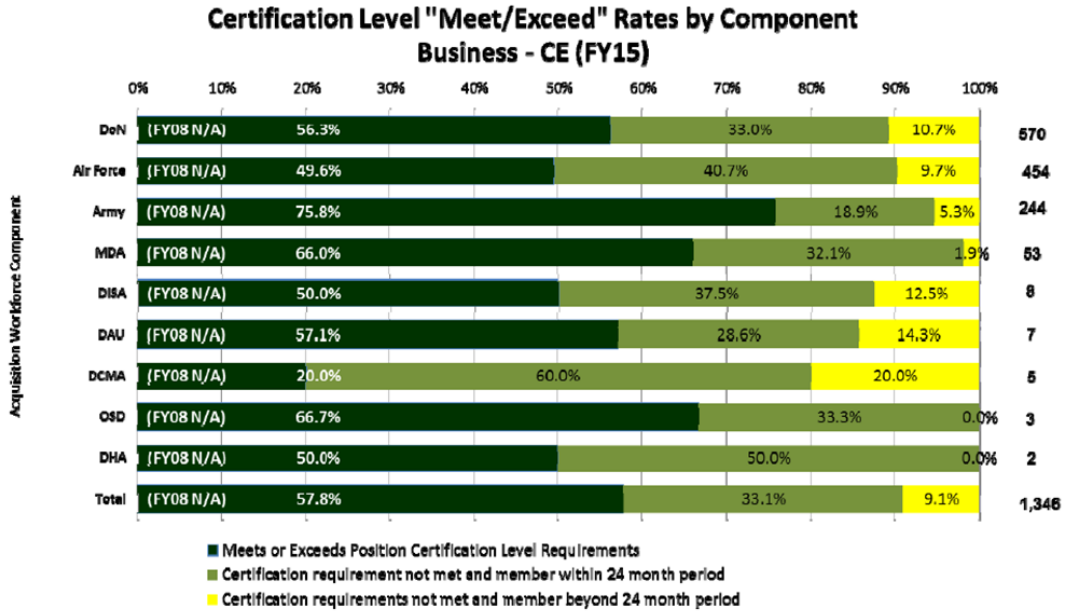
Appendix H: Percent of AWF personnel with DAWIA Certification at Least at Level Required for Position

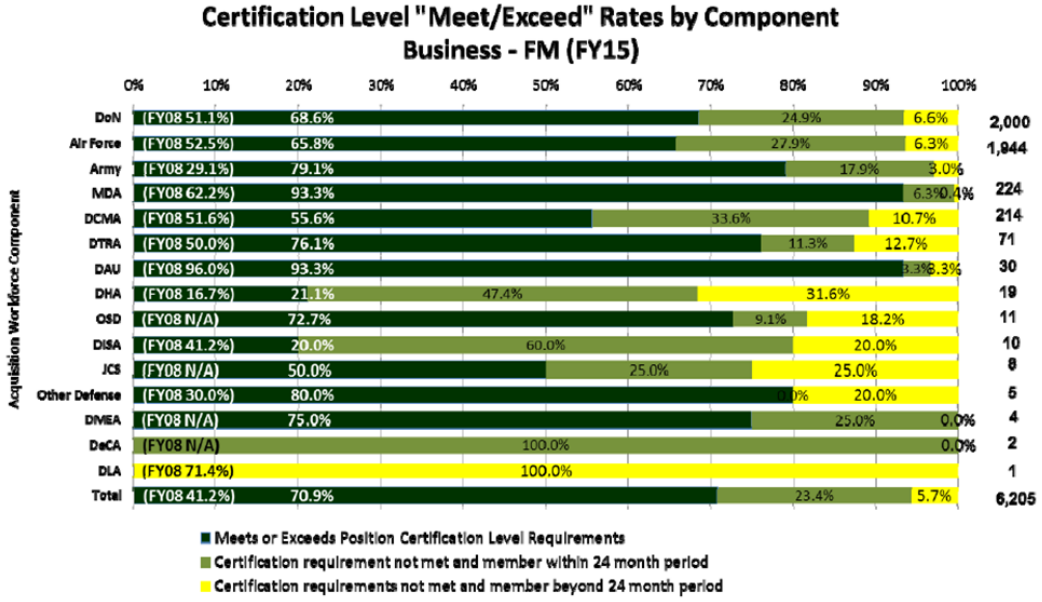
In this appendix, we include the slides from the Defense Acquisition Workforce Key Information briefings for each of the career fields at the end of FY2015. Figures are presented for career fields in alphabetical order, though Industrial and Contract Property Management is included under its previous name "Property."

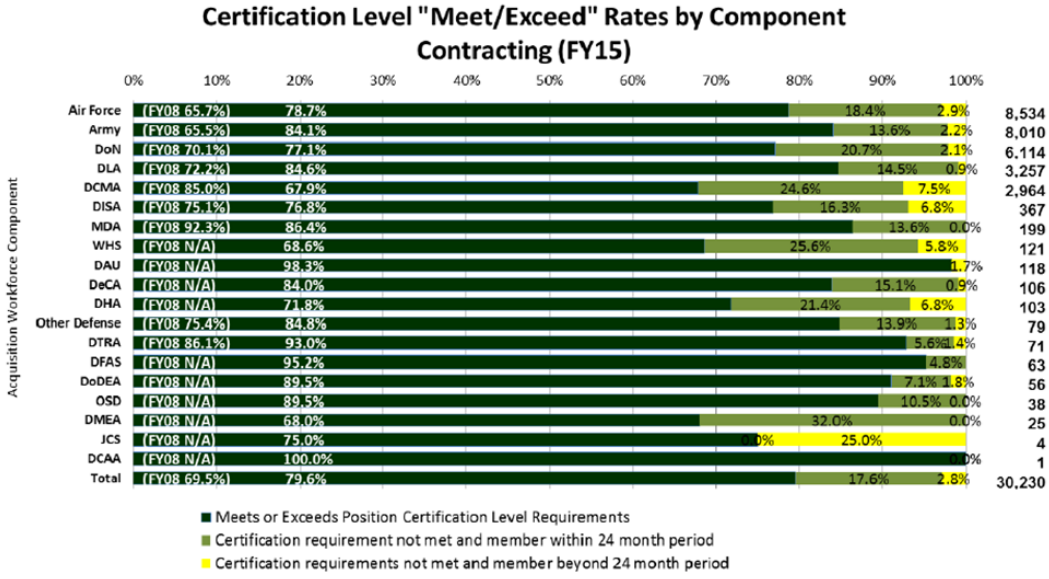
These charts were prepared by the HCI office using information from the AT&L Data Mart, as of September 30, 2015.

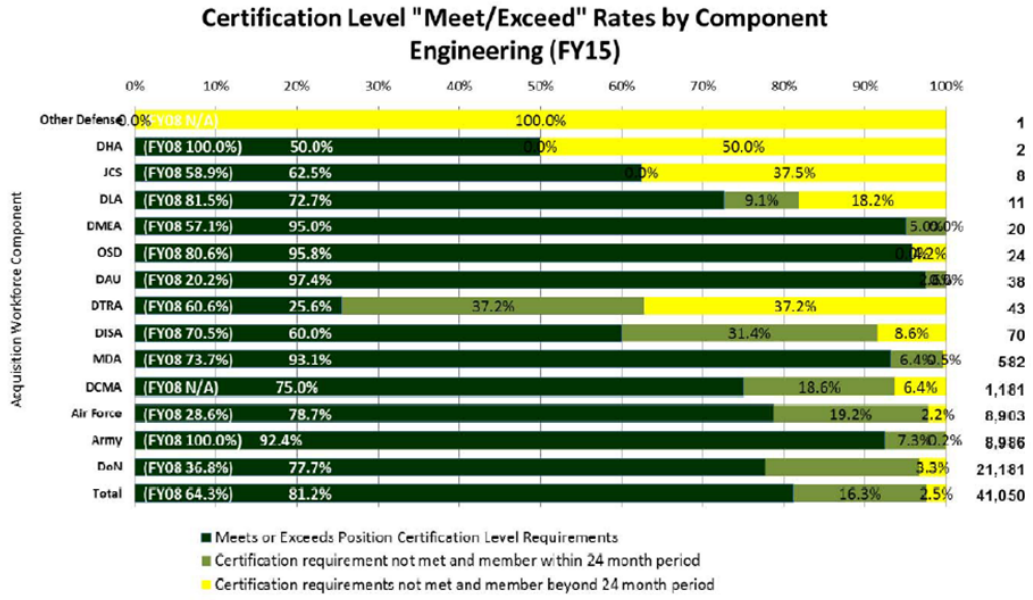


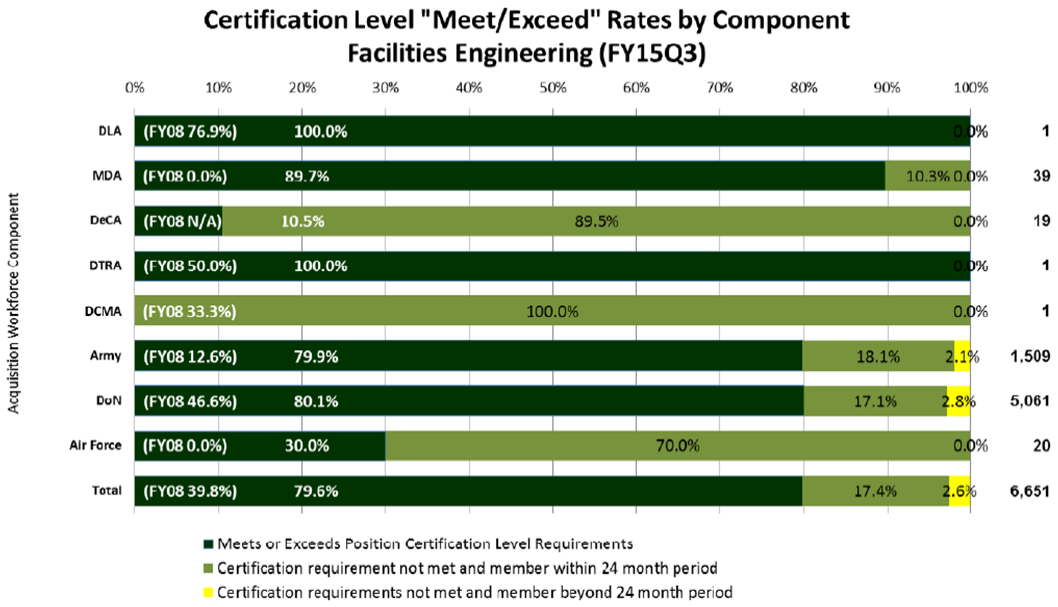

Certification Level "Meet/Exceed" Rates by Component
Business - FM (FY15)
0%
10%
20%
30%
40%
50%
60%
70%
80%
90%
100%
Acquisition Workforce Component
DoN (FY08 51.1%) 68.6% 24.9% 6.6% 2,000
Air Force (FY08 52.5%) 65.8% 27.9% 6.3% 1,944
Army (FY08 29.1%) 79.1% 17.9% 3.0%
MDA (FY08 62.2%) 93.3% 6.3% 0.4% 224
DCMA (FY08 51.6%) 55.6% 33.6% 10.7% 214
DTRA (FY08 50.0%) 76.1% 11.3% 12.7% 71
DAU (FY08 96.0%) 93.3% 8.3% 30
DHA (FY08 16.7%) 21.1% 47.4% 31.6% 19
OSD (FY08 N/A) 72.7% 9.1% 18.2% 11
DISA (FY08 41.2%) 20.0% 60.0% 20.0% 10
JCS (FY08 N/A) 50.0% 25.0% 25.0% 8
Other Defense (FY08 30.0%) 80.0% 20.0% 5
DMEA (FY08 N/A) 75.0% 25.0% 0.0% 4
DeCA (FY08 N/A) 100.0% 0.0% 2
DLA (FY08 71.4%) 100.0% 1
Total (FY08 41.2%) 70.9% 23.4% 5.7% 6,205
Meets or Exceeds Position Certification Level Requirements
Certification requirement not met and member within 24 month period
Certification requirements not met and member beyond 24 month period

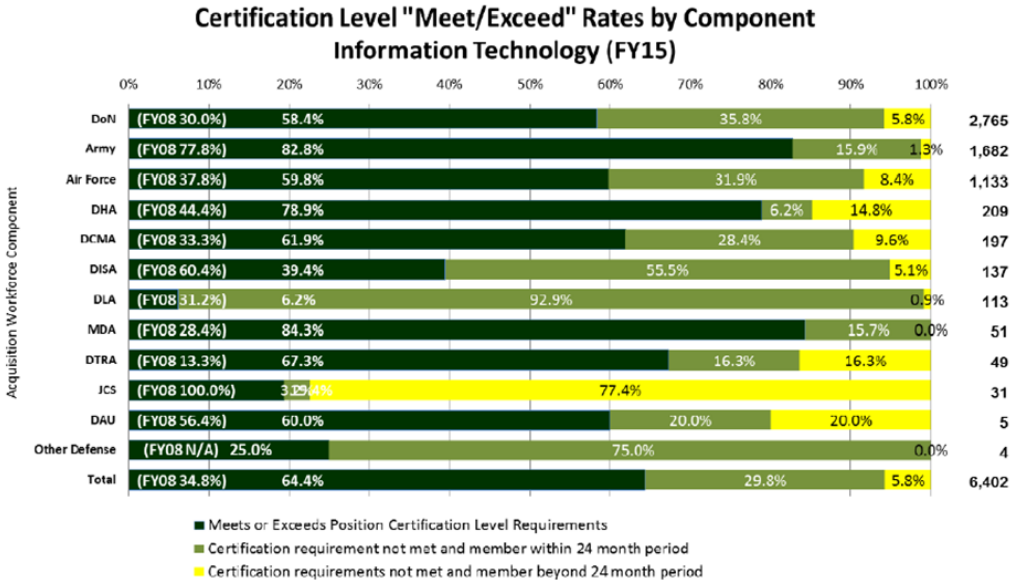

Certification Level "Meet/Exceed" Rates by Component
Business - CE (FY15)
0%
10%
20%
30%
40%
50%
60%
70%
80%
90%
100%
Acquisition Workforce Component
DoN (FY08 N/A) 56.3% 33.0% 10.7% 570
Air Force (FY08 N/A) 49.6% 40.7% 9.7% 454
Army (FY08 N/A) 75.8% 18.9% 5.3% 244
MDA (FY08 N/A) 66.0% 32.1% 1.9% 53
DISA (FY08 N/A) 50.0% 37.5% 12.5% 8
DAU (FY08 N/A) 57.1% 28.6% 14.3% 7
DCMA (FY08 N/A) 20.0% 60.0% 20.0% 5
OSD (FY08 N/A) 66.7% 33.3% 0.0% 3
DHA (FY08 N/A) 50.0% 50.0% 0.0% 2
Total (FY08 N/A) 57.8% 33.1% 9.1% 1,346
Meets or Exceeds Position Certification Level Requirements
Certification requirement not met and member within 24 month period
Certification requirements not met and member beyond 24 month period

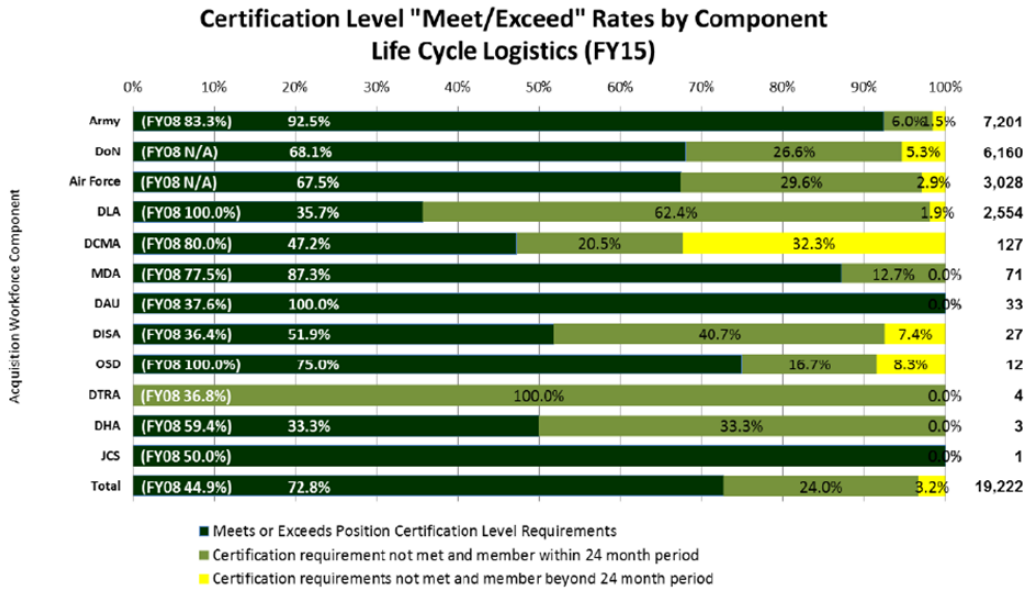

Certification Level "Meet/Exceed" Rates by Component
Business - FM (FY15)
Acquisition Workforce Component
0%
10%
20%
30%
40%
50%
60%
70%
80%
90%
100%
DoN (FY08 51.1%) 68.6% 24.9% 6.6% 2,000
Air Force (FY08 52.5%) 65.8% 27.9% 6.3% 1,944
Army (FY08 29.1%) 79.1% 17.9% 3.0%
MDA (FY08 62.2%) 93.3% 6.3% 0.4% 224
DCMA (FY08 51.6%) 55.6% 33.6% 10.7% 214
DTRA (FY08 50.0%) 76.1% 11.3% 12.7% 71
DAU (FY08 96.0%) 93.3% 3.3% 3.3% 30
DHA (FY08 16.7%) 21.1% 47.4% 31.6% 19
OSD (FY08 N/A) 72.7% 9.1% 18.2% 11
DISA (FY08 41.2%) 20.0% 60.0% 20.0% 10
JCS (FY08 N/A) 50.0% 25.0% 25.0% 8
Other Defense (FY08 30.0%) 80.0% 0.0% 20.0% 5
DMEA (FY08 N/A) 75.0% 25.0% 0.0% 4
DeCA (FY08 N/A) 100.0% 0.0% 2
DLA (FY08 71.4%) 100.0% 1
Total (FY08 41.2%) 70.9% 23.4% 5.7% 6,205
Meets or Exceeds Position Certification Level Requirements
Certification requirement not met and member within 24 month period
Certification requirements not met and member beyond 24 month period

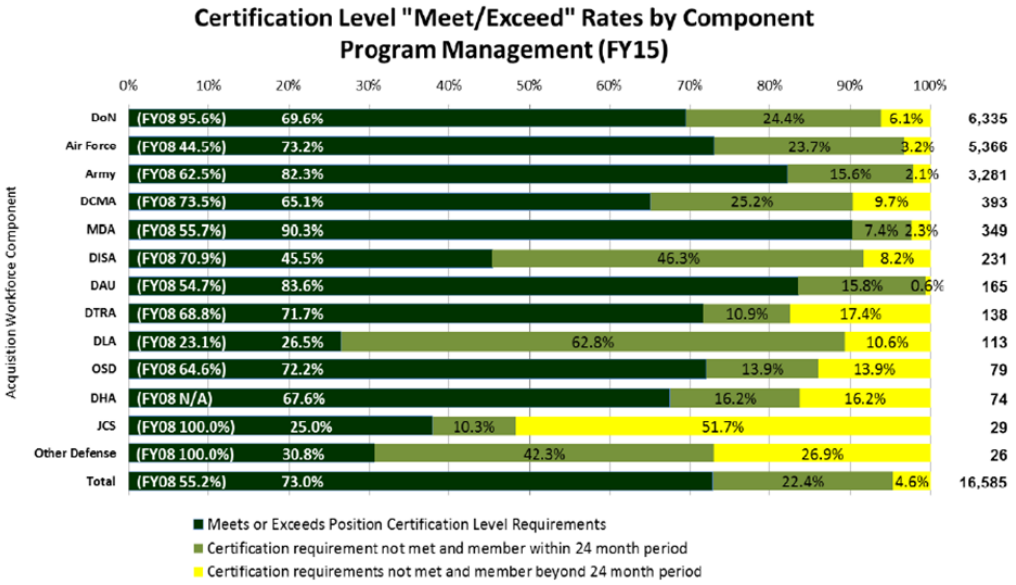

Certification Level "Meet/Exceed" Rates by Component
Contracting (FY15)
Acquisition Workforce Component
0%
10%
20%
30%
40%
50%
60%
70%
80%
90%
100%
Air Force (FY08 65.7%) 78.7% 18.4% 2.9% 8,534
Army (FY08 65.5%) 84.1% 13.6% 2.2% 8,010
DoN (FY08 70.1%) 77.1% 20.7% 2.1% 6,114
DLA (FY08 72.2%) 84.6% 14.5% 0.9% 3,257
DCMA (FY08 85.0%) 67.9% 24.6% 7.5% 2,964
DISA (FY08 75.1%) 76.8% 16.3% 6.8% 367
MDA (FY08 92.3%) 86.4% 13.6% 0.0% 199
WHS (FY08 N/A) 68.6% 25.6% 5.8% 121
DAU (FY08 N/A) 98.3% 1.7% 118
DeCA (FY08 N/A) 84.0% 15.1% 0.9% 106
DHA (FY08 N/A) 71.8% 21.4% 6.8% 103
Other Defense (FY08 75.4%) 84.8% 13.9% 1.3% 79
DTRA (FY08 86.1%) 93.0% 5.6% 1.4% 71
DFAS (FY08 N/A) 95.2% 4.8% 63
DoDEA (FY08 N/A) 89.5% 7.1% 1.8% 56
OSD (FY08 N/A) 89.5% 10.5% 0.0% 38
DMEA (FY08 N/A) 68.0% 32.0% 0.0% 25
JCS (FY08 N/A) 75.0% 0.0% 25.0% 4
DCAA (FY08 N/A) 100.0% 0.0% 1
Total (FY08 69.5%) 79.6% 17.6% 2.8% 30,230
Meets or Exceeds Position Certification Level Requirements
Certification requirement not met and member within 24 month period
Certification requirements not met and member beyond 24 month period

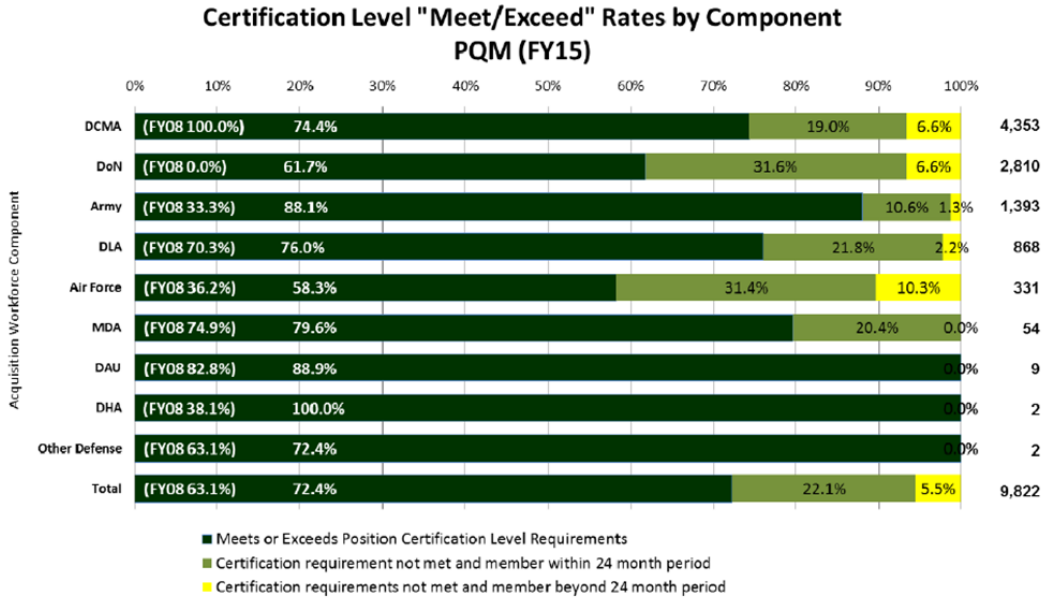

Certification Level "Meet/Exceed" Rates by Component
Engineering (FY15)
0%
10%
20%
30%
40%
50%
60%
70%
80%
90%
100%
Acquisition Workforce Component
Other Defense (FY08 N/A) 0.0% 100.0% 1
DHA (FY08 100.0%) 50.0% 0.0% 50.0% 2
JCS (FY08 58.9%) 62.5% 0.0% 37.5% 8
DLA (FY08 81.5%) 72.7% 9.1% 18.2% 11
DMEA (FY08 57.1%) 95.0% 5.0% 0.0% 20
OSD (FY08 80.6%) 95.8% 0.0% 4.2% 24
DAU (FY08 20.2%) 97.4% 2.6% 0.0% 38
DTRA (FY08 60.6%) 25.6% 37.2% 37.2% 43
DISA (FY08 70.5%) 60.0% 31.4% 8.6% 70
MDA (FY08 73.7%) 93.1% 6.4% 0.5% 582
DCMA (FY08 N/A) 75.0% 18.6% 6.4% 1,181
Air Force (FY08 28.6%) 78.7% 19.2% 2.2% 8,903
Army (FY08 100.0%) 92.4% 7.3% 0.2% 8,986
DoN (FY08 36.8%) 77.7% 19.3% 3.1% 21,181
Total (FY08 64.3%) 81.2% 16.3% 2.5% 41,050
Meets or Exceeds Position Certification Level Requirements
Certification requirement not met and member within 24 month period
Certification requirements not met and member beyond 24 month period

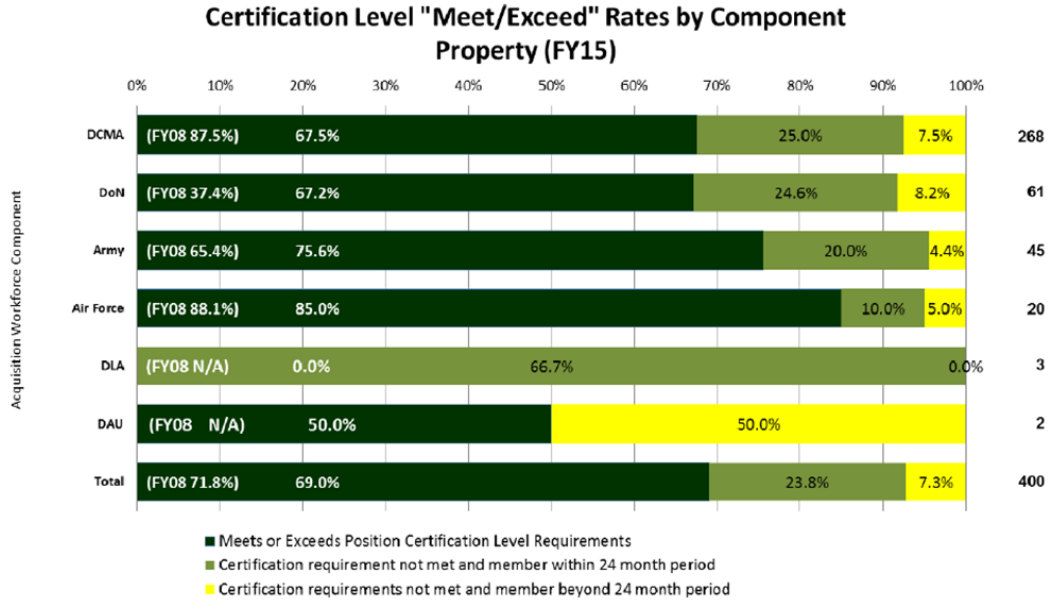

Certification Level "Meet/Exceed" Rates by Component
Facilities Engineering (FY15Q3)
0%
10%
20%
30%
40%
50%
60%
70%
80%
90%
100%
Acquisition Workforce Component
DLA (FY08 76.9%) 100.0% 0.0% 1
MDA (FY08 0.0%) 89.7% 10.3% 0.0% 39
DeCA (FY08 N/A) 10.5% 89.5% 0.0% 19
DTRA (FY08 50.0%) 100.0% 0.0% 1
DCMA (FY08 33.3%) 100.0% 0.0% 1
Army (FY08 12.6%) 79.9% 18.1% 2.1% 1,509
DoN (FY08 46.6%) 80.1% 17.1% 2.8% 5,061
Air Force (FY08 0.0%) 30.0% 70.0% 0.0% 20
Total (FY08 39.8%) 79.6% 17.4% 2.6% 6,651
Meets or Exceeds Position Certification Level Requirements
Certification requirement not met and member within 24 month period
Certification requirements not met and member beyond 24 month period

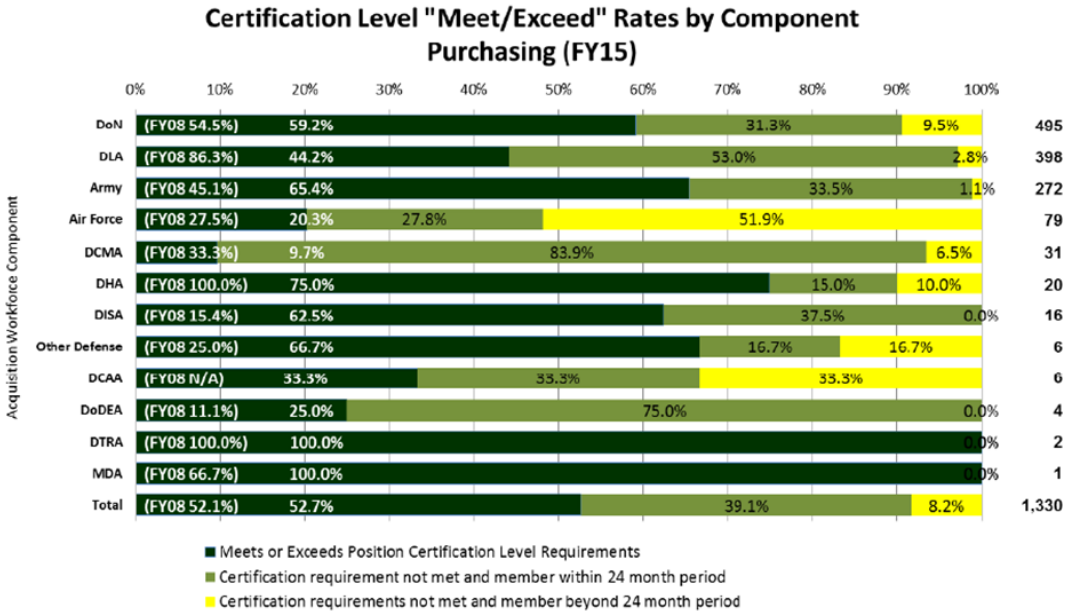

Certification Level "Meet/Exceed" Rates by Component
Information Technology (FY15)
Acquisition Workforce Component
0% 10% 20% 30% 40% 50% 60% 70% 80% 90% 100%
DoN (FY08 30.0%) 58.4% 35.8% 5.8% 2,765
Army (FY08 77.8%) 82.8% 15.9% 1.3% 1,682
Air Force (FY08 37.8%) 59.8% 31.9% 8.4% 1,133
DHA (FY08 44.4%) 78.9% 6.2% 14.8% 209
DCMA (FY08 33.3%) 61.9% 28.4% 9.6% 197
DISA (FY08 60.4%) 39.4% 55.5% 5.1% 137
DLA (FY08 31.2%) 6.2% 92.9% 0.9% 113
MDA (FY08 28.4%) 84.3% 15.7% 0.0% 51
DTRA (FY08 13.3%) 67.3% 16.3% 16.3% 49
JCS (FY08 100.0%) 77.4% 31
DAU (FY08 56.4%) 60.0% 20.0% 20.0% 5
Other Defense (FY08 N/A) 25.0% 75.0% 0.0% 4
Total (FY08 34.8%) 64.4% 29.8% 5.8% 6,402
Meets or Exceeds Position Certification Level Requirements
Certification requirement not met and member within 24 month period
Certification requirements not met and member beyond 24 month period

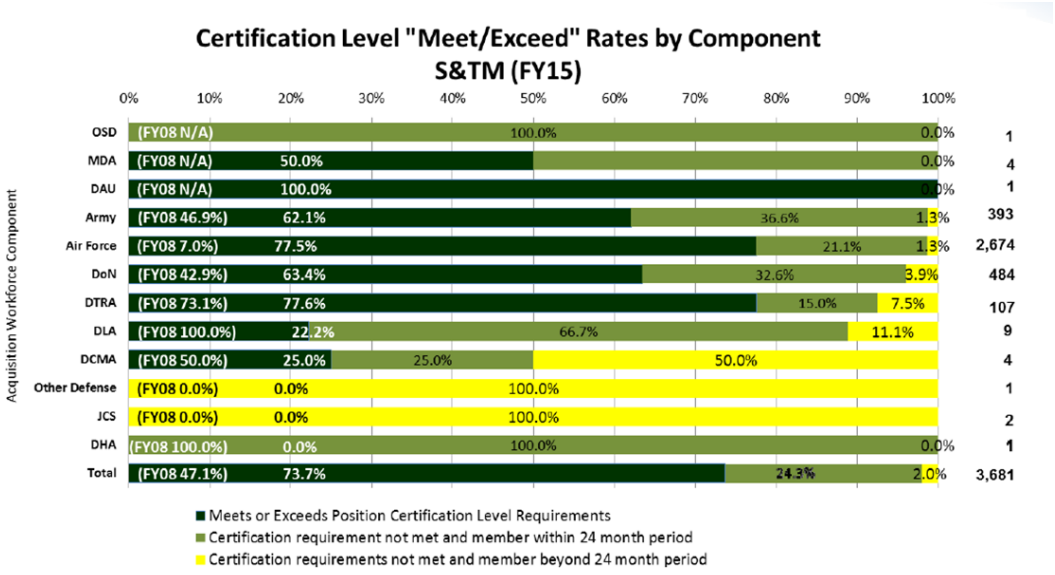

Certification Level "Meet/Exceed" Rates by Component
Life Cycle Logistics (FY15)
Acquisition Workforce Component
0% 10% 20% 30% 40% 50% 60% 70% 80% 90% 100%
Army (FY08 83.3%) 92.5% 6.0% 1.5% 7,201
DoN (FY08 N/A) 68.1% 26.6% 5.3% 6,160
Air Force (FY08 N/A) 67.5% 29.6% 2.9% 3,028
DLA (FY08 100.0%) 35.7% 62.4% 1.9% 2,554
DCMA (FY08 80.0%) 47.2% 20.5% 32.3% 127
MDA (FY08 77.5%) 87.3% 12.7% 0.0% 71
DAU (FY08 37.6%) 100.0% 0.0% 33
DISA (FY08 36.4%) 51.9% 40.7% 7.4% 27
OSD (FY08 100.0%) 75.0% 16.7% 8.3% 12
DTRA (FY08 36.8%) 100.0% 0.0% 4
DHA (FY08 59.4%) 33.3% 33.3% 0.0% 3
JCS (FY08 50.0%) 0.0% 1
Total (FY08 44.9%) 72.8% 24.0% 3.2% 19,222
Meets or Exceeds Position Certification Level Requirements
Certification requirement not met and member within 24 month period
Certification requirements not met and member beyond 24 month period

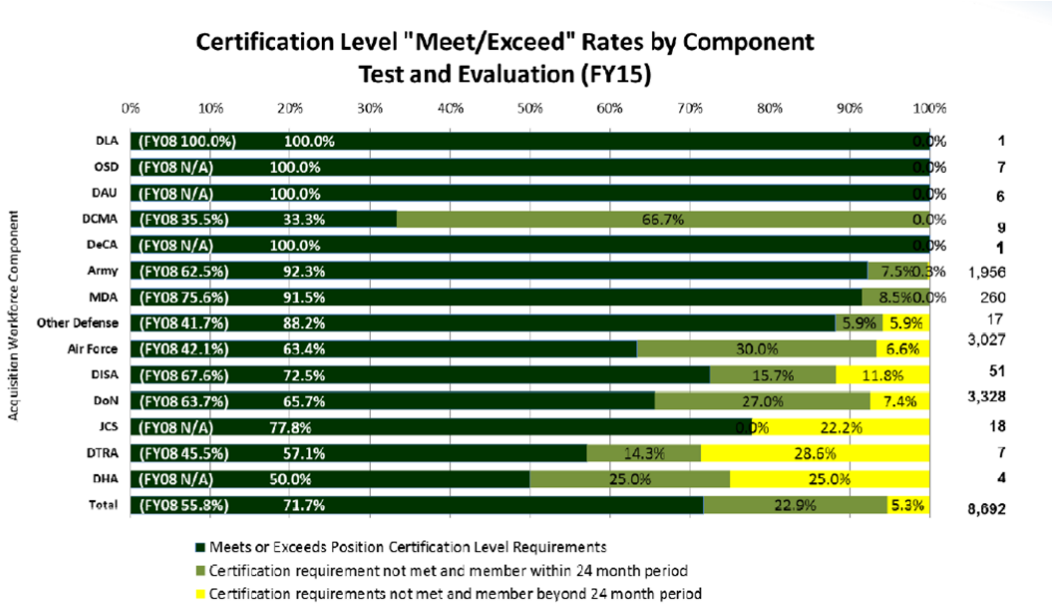

Certification Level "Meet/Exceed" Rates by Component
Program Management (FY15)
0% 10% 20% 30% 40% 50% 60% 70% 80% 90% 100%
Acquisition Workforce Component
DoN (FY08 95.6%) 69.6% 24.4% 6.1% 6,335
Air Force (FY08 44.5%) 73.2% 23.7% 3.2% 5,366
Army (FY08 62.5%) 82.3% 15.6% 2.1% 3,281
DCMA (FY08 73.5%) 65.1% 25.2% 9.7% 393
MDA (FY08 55.7%) 90.3% 7.4% 2.3% 349
DISA (FY08 70.9%) 45.5% 46.3% 8.2% 231
DAU (FY08 54.7%) 83.6% 15.8% 0.6% 165
DTRA (FY08 68.8%) 71.7% 10.9% 17.4% 138
DLA (FY08 23.1%) 26.5% 62.8% 10.6% 113
OSD (FY08 64.6%) 72.2% 13.9% 13.9% 79
DHA (FY08 N/A) 67.6% 16.2% 16.2% 74
JCS (FY08 100.0%) 25.0% 10.3% 51.7% 29
Other Defense (FY08 100.0%) 30.8% 42.3% 26.9% 26
Total (FY08 55.2%) 73.0% 22.4% 4.6% 16,585
Meets or Exceeds Position Certification Level Requirements
Certification requirement not met and member within 24 month period
Certification requirements not met and member beyond 24 month period


Certification Level "Meet/Exceed" Rates by Component
PQM (FY15)
0% 10% 20% 30% 40% 50% 60% 70% 80% 90% 100%
Acquisition Workforce Component
DCMA (FY08 100.0%) 74.4% 19.0% 6.6% 4,353
DoN (FY08 0.0%) 61.7% 31.6% 6.6% 2,810
Army (FY08 33.3%) 88.1% 10.6% 1.3% 1,393
DLA (FY08 70.3%) 76.0% 21.8% 2.2% 868
Air Force (FY08 36.2%) 58.3% 31.4% 10.3% 331
MDA (FY08 74.9%) 79.6% 20.4% 0.0% 54
DAU (FY08 82.8%) 88.9% 0.0% 9
DHA (FY08 38.1%) 100.0% 0.0% 2
Other Defense (FY08 63.1%) 72.4% 0.0% 2
Total (FY08 63.1%) 72.4% 22.1% 5.5% 9,822
Meets or Exceeds Position Certification Level Requirements
Certification requirement not met and member within 24 month period
Certification requirements not met and member beyond 24 month period


Certification Level "Meet/Exceed" Rates by Component
Property (FY15)
Acquisition Workforce Component
0%
10%
20%
30%
40%
50%
60%
70%
80%
90%
100%
DCMA
(FY08 87.5%)
67.5%
25.0%
7.5%
268
DoN
(FY08 37.4%)
67.2%
24.6%
8.2%
61
Army
(FY08 65.4%)
75.6%
20.0%
4.4%
45
Air Force
(FY08 88.1%)
85.0%
10.0%
5.0%
20
DLA
(FY08 N/A)
0.0%
66.7%
0.0%
3
DAU
(FY08 N/A)
50.0%
50.0%
2
Total
(FY08 71.8%)
69.0%
23.8%
7.3%
400
Meets or Exceeds Position Certification Level Requirements
Certification requirement not met and member within 24 month period
Certification requirements not met and member beyond 24 month period


Certification Level "Meet/Exceed" Rates by Component
Purchasing (FY15)
Acquisition Workforce Component
0%
10%
20%
30%
40%
50%
60%
70%
80%
90%
100%
DoN
(FY08 54.5%)
59.2%
31.3%
9.5%
495
DLA
(FY08 86.3%)
44.2%
53.0%
2.8%
398
Army
(FY08 45.1%)
65.4%
33.5%
1.1%
272
Air Force
(FY08 27.5%)
20.3%
27.8%
51.9%
79
DCMA
(FY08 33.3%)
9.7%
83.9%
6.5%
31
DHA
(FY08 100.0%)
75.0%
15.0%
10.0%
20
DISA
(FY08 15.4%)
62.5%
37.5%
0.0%
16
Other Defense
(FY08 25.0%)
66.7%
16.7%
16.7%
6
DCAA
(FY08 N/A)
33.3%
33.3%
33.3%
6
DoDEA
(FY08 11.1%)
25.0%
75.0%
0.0%
4
DTRA
(FY08 100.0%)
100.0%
0.0%
2
MDA
(FY08 66.7%)
100.0%
0.0%
1
Total
(FY08 52.1%)
52.7%
39.1%
8.2%
1,330
Meets or Exceeds Position Certification Level Requirements
Certification requirement not met and member within 24 month period
Certification requirements not met and member beyond 24 month period


Certification Level "Meet/Exceed" Rates by Component
S&TM (FY15)
Acquisition Workforce Component
0% 10% 20% 30% 40% 50% 60% 70% 80% 90% 100%
OSD (FY08 N/A) 100.0% 0.0% 1
MDA (FY08 N/A) 50.0% 0.0% 4
DAU (FY08 N/A) 100.0% 0.0% 1
Army (FY08 46.9%) 62.1% 36.6% 1.3% 393
Air Force (FY08 7.0%) 77.5% 21.1% 1.3% 2,674
DoN (FY08 42.9%) 63.4% 32.6% 3.9% 484
DTRA (FY08 73.1%) 77.6% 15.0% 7.5% 107
DLA (FY08 100.0%) 22.2% 66.7% 11.1% 9
DCMA (FY08 50.0%) 25.0% 25.0% 50.0% 4
Other Defense (FY08 0.0%) 0.0% 100.0% 1
JCS (FY08 0.0%) 0.0% 100.0% 2
DHA (FY08 100.0%) 0.0% 100.0% 0.0% 1
Total (FY08 47.1%) 73.7% 24.3% 2.0% 3,681
Meets or Exceeds Position Certification Level Requirements
Certification requirement not met and member within 24 month period
Certification requirements not met and member beyond 24 month period


Certification Level "Meet/Exceed" Rates by Component
Test and Evaluation (FY15)
Acquisition Workforce Component
0% 10% 20% 30% 40% 50% 60% 70% 80% 90% 100%
DLA (FY08 100.0%) 100.0% 0.0% 1
OSD (FY08 N/A) 100.0% 0.0% 7
DAU (FY08 N/A) 100.0% 0.0% 6
DCMA (FY08 35.5%) 33.3% 66.7% 0.0% 9
DeCA (FY08 N/A) 100.0% 0.0% 1
Army (FY08 62.5%) 92.3% 7.5% 0.3% 1,956
MDA (FY08 75.6%) 91.5% 8.5% 0.0% 260
Other Defense (FY08 41.7%) 88.2% 5.9% 5.9% 17
Air Force (FY08 42.1%) 63.4% 30.0% 6.6% 3,027
DISA (FY08 67.6%) 72.5% 15.7% 11.8% 51
DoN (FY08 63.7%) 65.7% 27.0% 7.4% 3,328
JCS (FY08 N/A) 77.8% 0.0% 22.2% 18
DTRA (FY08 45.5%) 57.1% 14.3% 28.6% 7
DHA (FY08 N/A) 50.0% 25.0% 25.0% 4
Total (FY08 55.8%) 71.7% 22.9% 5.3% 8,692
Meets or Exceeds Position Certification Level Requirements
Certification requirement not met and member within 24 month period
Certification requirements not met and member beyond 24 month period

Appendix I: Acquisition Corps Military Promotion Rates

In this appendix, we show, by Service, a comparison of Acquisition Corps personnel promotion rates, for five previous promotion boards, with data from HCI.

Army O6 (Colonel) Boards

Above Zone

		Number Considered	Number Selected	Percent
FY13	Acquistion Corps	70	7	10.0%
	Board Average	340	29	8.5%
FY12	Acquistion Corps	54	6	11.1%
	Board Average	301	21	7.0%
FY11	Acquistion Corps	30	1	3.3%
	Board Average	192	2	1.0%
FY10	Acquistion Corps	29	3	10.3%
	Board Average	183	13	7.1%
FY09	Acquistion Corps	23	3	13.0%
	Board Average	147	7	4.8%

In Zone

		Number Considered	Number Selected	Percent
FY13	Acquistion Corps	78	38	48.7%
	Board Average	262	111	42.4%
FY12	Acquistion Corps	71	20	28.2%
	Board Average	252	96	38.1%
FY11	Acquistion Corps	61	24	39.3%
	Board Average	254	94	37.0%
FY10	Acquistion Corps	61	31	50.8%
	Board Average	232	104	44.8%
FY09	Acquistion Corps	56	34	60.7%
	Board Average	826	433	52.4%

Below Zone

		Number Considered	Number Selected	Percent
FY13	Acquistion Corps	172	1	0.6%
	Board Average	578	7	1.2%
FY12	Acquistion Corps	182	3	1.6%
	Board Average	593	13	2.2%
FY11	Acquistion Corps	83	0	0.0%
	Board Average	286	5	1.7%
FY10	Acquistion Corps	85	1	1.2%
	Board Average	329	8	2.4%
FY09	Acquistion Corps	72	2	2.8%
	Board Average	1014	50	4.9%

Army O5 (Lieutenant Colonel) Boards

Above Zone

		Number Considered	Number Selected	Percent
FY14	Acquistion Corps	32	1	3.1%
	Board Average	157	7	4.5%
FY13	Acquistion Corps	30	1	3.3%
	Board Average	152	11	7.2%
FY12	Acquistion Corps	31	7	22.6%
	Board Average	139	28	20.1%
FY11	Acquistion Corps	35	5	14.3%
	Board Average	151	34	22.5%
FY10	Acquistion Corps	27	3	11.1%
	Board Average	114	16	14.0%

In Zone

		Number Considered	Number Selected	Percent
FY14	Acquistion Corps	90	58	64.4%
	Board Average	383	245	64.0%
FY13	Acquistion Corps	99	79	79.8%
	Board Average	368	271	73.6%
FY12	Acquistion Corps	105	90	85.7%
	Board Average	1405	1166	83.0%
FY11	Acquistion Corps	94	80	85.1%
	Board Average	1239	1080	87.2%
FY10	Acquistion Corps	109	86	78.9%
	Board Average	367	281	76.6%

Below Zone

		Number Considered	Number Selected	Percent
FY14	Acquistion Corps	97	1	1.0%
	Board Average	405	13	3.2%
FY13	Acquistion Corps	93	1	1.1%
	Board Average	419	23	5.5%
FY12	Acquistion Corps	107	5	4.7%
	Board Average	1590	132	8.3%
FY11	Acquistion Corps	112	4	3.6%
	Board Average	377	15	4.0%
FY10	Acquistion Corps	107	8	7.5%
	Board Average	347	32	9.2%

≥ Board Average Percentage

≤ 0.2% Lower than Board Average Percentage or No Eligibles for Consideration

≥ 0.3% Lower than Board Average Percentage

Navy O6 (Captain) Boards

Above Zone

		Number Considered	Number Selected	Percent
FY15	Acquistion Corps	116	11	9.5%
	Board Average	812	55	6.8%
FY14	Acquistion Corps	109	6	5.5%
	Board Average	703	30	4.3%
FY13	Acquistion Corps	105	7	6.7%
	Board Average	715	17	2.4%
FY12	Acquistion Corps	105	9	8.6%
	Board Average	723	30	4.1%
FY11	Acquistion Corps	114	20	17.5%
	Board Average	696	58	8.3%

In Zone

		Number Considered	Number Selected	Percent
FY15	Acquistion Corps	128	67	52.3%
	Board Average	646	281	43.5%
FY14	Acquistion Corps	134	76	56.7%
	Board Average	697	329	47.2%
FY13	Acquistion Corps	115	59	51.3%
	Board Average	569	268	47.1%
FY12	Acquistion Corps	130	71	54.6%
	Board Average	582	286	49.1%
FY11	Acquistion Corps	123	63	51.2%
	Board Average	571	285	49.9%

Below Zone

		Number Considered	Number Selected	Percent
FY15	Acquistion Corps	235	0	0.0%
	Board Average	1182	0	0.0%
FY14	Acquistion Corps	236	0	0.0%
	Board Average	1381	0	0.0%
FY13	Acquistion Corps	252	1	0.4%
	Board Average	1213	3	0.2%
FY12	Acquistion Corps	242	0	0.0%
	Board Average	1237	0	0.0%
FY11	Acquistion Corps	250	1	0.4%
	Board Average	1345	8	0.6%

Navy O5 (Commander) Boards

Above Zone

		Number Considered	Number Selected	Percent
FY15	Acquistion Corps	85	12	14.1%
	Board Average	798	56	7.0%
FY14	Acquistion Corps	83	11	13.3%
	Board Average	687	52	7.6%
FY13	Acquistion Corps	66	10	15.2%
	Board Average	655	38	5.8%
FY12	Acquistion Corps	67	9	13.4%
	Board Average	678	59	8.7%
FY11	Acquistion Corps	75	9	12.0%
	Board Average	713	46	6.5%

In Zone

		Number Considered	Number Selected	Percent
FY15	Acquistion Corps	119	82	68.9%
	Board Average	1162	739	63.6%
FY14	Acquistion Corps	118	99	83.9%
	Board Average	1159	749	64.6%
FY13	Acquistion Corps	87	66	75.9%
	Board Average	916	601	65.6%
FY12	Acquistion Corps	95	76	80.0%
	Board Average	757	505	66.7%
FY11	Acquistion Corps	103	87	84.5%
	Board Average	840	692	82.4%

Below Zone

		Number Considered	Number Selected	Percent
FY15	Acquistion Corps	187	1	0.5%
	Board Average	2105	2	0.1%
FY14	Acquistion Corps	177	0	0.0%
	Board Average	2280	1	0.0%
FY13	Acquistion Corps	151	1	0.7%
	Board Average	2023	2	0.1%
FY12	Acquistion Corps	144	4	2.8%
	Board Average	1840	7	0.4%
FY11	Acquistion Corps	134	2	1.5%
	Board Average	2084	7	0.3%

≥ Board Average Percentage

≤ 0.2% Lower than Board Average Percentage or No Eligibles for Consideration

≥ 0.3% Lower than Board Average Percentage

Marine Corps O6 (Colonel) Boards Above Zone				
		Number Considered	Number Selected	Percent
FY15	Acquistion Corps	21	2	9.5%
	Board Average	150	10	6.7%
FY14	Acquistion Corps	22	1	4.5%
	Board Average	199	4	2.0%
FY13	Acquistion Corps	16	1	6.3%
	Board Average	209	8	3.8%
FY12	Acquistion Corps	13	1	7.7%
	Board Average	188	5	2.7%
FY11	Acquistion Corps	7	0	0.0%
	Board Average	181	5	2.8%
In Zone				
		Number Considered	Number Selected	Percent
FY15	Acquistion Corps	15	8	53.3%
	Board Average	158	63	39.9%
FY14	Acquistion Corps	17	7	41.2%
	Board Average	187	86	46.0%
FY13	Acquistion Corps	20	6	30.0%
	Board Average	250	122	48.8%
FY12	Acquistion Corps	23	8	34.8%
	Board Average	257	134	52.1%
FY11	Acquistion Corps	19	5	26.3%
	Board Average	209	112	53.6%
Below Zone				
		Number Considered	Number Selected	Percent
FY15	Acquistion Corps	12	0	0.0%
	Board Average	197	0	0.0%
FY14	Acquistion Corps	16	0	0.0%
	Board Average	181	0	0.0%
FY13	Acquistion Corps	21	0	0.0%
	Board Average	251	0	0.0%
FY12	Acquistion Corps	19	0	0.0%
	Board Average	288	0	0.0%
FY11	Acquistion Corps	27	0	0.0%
	Board Average	268	0	0.0%

Marine Corps O5 (Lieutenant Colonel) Boards Above Zone				
		Number Considered	Number Selected	Percent
FY15	Acquistion Corps	42	0	0.0%
	Board Average	419	3	0.7%
FY14	Acquistion Corps	25	1	4.0%
	Board Average	471	7	1.5%
FY13	Acquistion Corps	22	0	0.0%
	Board Average	518	14	2.7%
FY12	Acquistion Corps	26	1	3.8%
	Board Average	521	20	3.8%
FY11	Acquistion Corps	26	1	3.8%
	Board Average	528	27	5.1%
In Zone				
		Number Considered	Number Selected	Percent
FY15	Acquistion Corps	29	18	62.1%
	Board Average	405	260	64.2%
FY14	Acquistion Corps	14	11	78.6%
	Board Average	323	214	66.3%
FY13	Acquistion Corps	16	13	81.3%
	Board Average	496	348	70.2%
FY12	Acquistion Corps	21	15	71.4%
	Board Average	450	308	68.4%
FY11	Acquistion Corps	15	12	80.0%
	Board Average	363	238	65.6%
Below Zone				
		Number Considered	Number Selected	Percent
FY15	Acquistion Corps	24	0	0.0%
	Board Average	472	0	0.0%
FY14	Acquistion Corps	10	0	0.0%
	Board Average	414	0	0.0%
FY13	Acquistion Corps	14	0	0.0%
	Board Average	557	0	0.0%
FY12	Acquistion Corps	7	0	0.0%
	Board Average	504	1	0.2%
FY11	Acquistion Corps	15	0	0.0%
	Board Average	518	0	0.0%

≥ Board Average Percentage

≤ 0.2% Lower than Board Average Percentage or No Eligibles for Consideration

≥ 0.3% Lower than Board Average Percentage

Air Force O6 (Colonel) Boards Above Zone				
		Number Considered	Number Selected	Percent
CY13	Acquistion Corps	99	0	0.0%
	Board Average	888	1	0.1%
CY12	Acquistion Corps	71	0	0.0%
	Board Average	827	7	0.8%
CY11	Acquistion Corps	75	2	2.7%
	Board Average	861	10	1.2%
CY10	Acquistion Corps	102	1	1.0%
	Board Average	909	11	1.2%
CY09	Acquistion Corps	125	4	3.2%
	Board Average	983	13	1.3%
In Zone				
		Number Considered	Number Selected	Percent
CY13	Acquistion Corps	129	67	51.9%
	Board Average	763	311	40.8%
CY12	Acquistion Corps	144	62	43.1%
	Board Average	921	424	46.0%
CY11	Acquistion Corps	139	67	48.2%
	Board Average	934	427	45.7%
CY10	Acquistion Corps	91	44	48.4%
	Board Average	938	428	45.6%
CY09	Acquistion Corps	136	69	50.7%
	Board Average	982	447	45.5%
Below Zone				
		Number Considered	Number Selected	Percent
CY13	Acquistion Corps	344	7	2.0%
	Board Average	2134	55	2.6%
CY12	Acquistion Corps	335	8	2.4%
	Board Average	2049	76	3.7%
CY11	Acquistion Corps	338	15	4.4%
	Board Average	1769	62	3.5%
CY10	Acquistion Corps	330	5	1.5%
	Board Average	2302	77	3.3%
CY09	Acquistion Corps	257	8	3.1%
	Board Average	2300	81	3.5%

Air Force O5 (Lieutenant Colonel) Boards Above Zone				
		Number Considered	Number Selected	Percent
CY14	Acquistion Corps	2	0	0.0%
	Board Average	1274	0	0.0%
CY13	Acquistion Corps	7	0	0.0%
	Board Average	1367	33	2.4%
CY12	Acquistion Corps	11	0	0.0%
	Board Average	1405	17	1.2%
CY11	Acquistion Corps	12	0	0.0%
	Board Average	1636	17	1.0%
CY10	Acquistion Corps	16	1	6.3%
	Board Average	1571	41	2.6%
In Zone				
		Number Considered	Number Selected	Percent
CY14	Acquistion Corps	0	0	0.0%
	Board Average	1591	1066	67.0%
CY13	Acquistion Corps	0	0	0.0%
	Board Average	1535	1142	74.4%
CY12	Acquistion Corps	0	0	0.0%
	Board Average	1453	1096	75.4%
CY11	Acquistion Corps	0	0	0.0%
	Board Average	1318	992	75.3%
CY10	Acquistion Corps	1	1	100.0%
	Board Average	1406	1036	73.7%
Below Zone				
		Number Considered	Number Selected	Percent
CY14	Acquistion Corps	0	0	0.0%
	Board Average	4259	119	2.8%
CY13	Acquistion Corps	0	0	0.0%
	Board Average	4186	130	3.1%
CY12	Acquistion Corps	0	0	0.0%
	Board Average	3604	123	3.4%
CY11	Acquistion Corps	0	0	0.0%
	Board Average	3285	112	3.4%
CY10	Acquistion Corps	1	1	100.0%
	Board Average	3101	119	3.8%

≥ Board Average Percentage

≤ 0.2% Lower than Board Average Percentage or No Eligibles for Consideration

≥ 0.3% Lower than Board Average Percentage

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