



Director of Administration and Management

ADMINISTRATIVE INSTRUCTION

NUMBER 101
July 20, 2012

WHS/HRD

SUBJECT: Personnel and Data Management Information Reporting Policies and Procedures for Implementation of the Defense Acquisition Workforce Improvement Act (DAWIA)

References: See Enclosure 1

1. PURPOSE. This Administrative Instruction (AI):

a. Reissues AI 101 (Reference (a)), in accordance with the authority in DoD Directive (DoDD) 5110.4 (Reference (b)) and DoDD 5000.52 (Reference (c)).

b. Implements sections 1701-1764 of title 10, United States Code (Reference (d)); assigns responsibilities; and prescribes guidance and procedures for:

- (1) Reviewing, recruiting, placing, and staffing acquisition workforce positions.
- (2) Reporting acquisition workforce data in the Defense Civilian Personnel Data System (DCPDS).
- (3) Providing information on acquisition training records.

2. APPLICABILITY. This AI applies to:

a. OSD, the Office of the Chairman of the Joints Chiefs of Staff and the Joint Staff, the Defense Agencies and Field Activities that are serviced by Washington Headquarters Services (WHS) (hereinafter referred to collectively as the "WHS-Serviced Components").

b. All WHS-Serviced Components' civilian and military positions designated as acquisition positions and established to perform an acquisition function in one of the 16 primary acquisition position categories identified in the Glossary.

c. All WHS-Serviced Components' appropriated fund personnel in the acquisition workforce who are currently employed in one of the 16 acquisition position categories identified in the

Glossary or in any position determined by the Under Secretary of Defense for Acquisition, Technology, and Logistics, or designee, to be an acquisition position.

3. DEFINITIONS. See Glossary.

4. POLICY. It is DoD policy in accordance with DoD Instruction (DoDI) 5000.66 (Reference (e)) that:

a. Managers and supervisors of employees in acquisition positions shall develop and implement procedures that provide appropriate education, training, and career development opportunities for members of the acquisition workforce to achieve full competence to perform their assigned duties.

b. In accordance with sections 1701-1764 of Reference (d), each WHS-Serviced Component shall establish:

(1) A certification program to ensure each acquisition workforce member meets the mandatory standards (education, training, and experience) established for a career level (i.e., I, II, or III) in an acquisition career field.

(2) A certification process to ensure that the fulfillment of training requirements or waiver of mandatory standards leading to individual certification is based on the attainment of competencies (knowledge, skills, and abilities) at the applicable level in the related career field.

c. WHS-Serviced Component employees serving in acquisition positions that have a positive education requirement, or those desiring membership in the Defense Acquisition Corps shall demonstrate attainment of the educational objectives set forth in Reference (c).

d. WHS-Serviced Components shall, to the extent practicable, establish a civilian employee tuition assistance program, to include tuition assistance leading to a degree, to support employee completion of the educational requirements set forth in Reference (c).

5. RESPONSIBILITIES. See Enclosure 2.

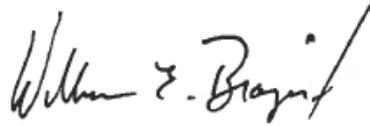
6. PROCEDURES. See Enclosure 3.

7. RELEASABILITY. UNLIMITED. This AI is approved for public release. It is available on the Internet from the DoD Issuances Website at <http://www.dtic.mil/whs/directives>.

8. EFFECTIVE DATE. This AI:

a. Is effective July 20, 2012.

b. Must be reissued, cancelled, or certified current within 5 years of its publication in accordance with DoDI 5025.01 (Reference (f)). If not it will expire effective July 20, 2022 and be removed from the DoD Issuances Website.



William E. Brazis
Director, Washington Headquarters Services

Enclosures

1. References
2. Responsibilities
3. Procedures

Glossary

ENCLOSURE 1

REFERENCES

- (a) Administrative Instruction No. 101, "Personnel and Data Management Information Reporting Policies and Procedures for Implementation of the Defense Acquisition Workforce Improvement Act (DAWIA)," March 27, 1997 (hereby cancelled)
- (b) DoD Directive 5110.4, "Washington Headquarters Services (WHS)," October 19, 2001
- (c) DoD Directive 5000.52, "Defense Acquisition, Technology, and Logistics Workforce Education, Training, and Career Development Program," January 12, 2005
- (d) Sections 1586 and 1701-1764 of title 10, United States Code
- (e) DoD Instruction 5000.66, "Operation of the Defense Acquisition, Technology, and Logistics Workforce Education, Training, and Career Development Program," December 21, 2005
- (f) DoD Instruction 5025.01, "DoD Directives Program," October 28, 2007, as amended
- (g) DoD Instruction 5000.55, "Reporting Management Information on DoD Military and Civilian Acquisition Personnel and Positions," November 1, 1991
- (h) Priority Placement Program (PPP) Operations Manual¹ (current edition)
- (i) DoD Directive 1315.17, "Military Department Foreign Area Officer (FAO) Programs," April 28, 2005
- (j) Defense Acquisition University Catalog²
- (k) Defense Acquisition Guidebook³

¹ The Priority Placement Program (PPP) Operations Manual can be viewed at the following website:
<https://dayapps.cpms.osd.mil/public/manindex.cfm>

² The Defense Acquisition University Catalog can be viewed at the following website: <http://icatalog.dau.mil/>

³ DAU Guidebook can be viewed at the following website: <https://acc.dau.mil/dag>

ENCLOSURE 2

RESPONSIBILITIES

1. DIRECTOR, WHS. The Director, WHS, shall administer acquisition policy for WHS-Serviced Components.

2. DIRECTOR, HUMAN RESOURCES DIRECTORATE (HRD), WHS. The Director, HRD, under the authority, direction, and control of the Director, WHS; through the Personnel Services Division (PSD), Executive and Political Personnel Division (EPP), and Military Personnel Division (MILPERS); and in coordination with WHS-Serviced Component managers and supervisors, shall oversee:
 - a. Recruitment, placement, and staffing activities related to filling acquisition positions, including General Schedule (GS)-15 positions or equivalent and below, by PSD; military positions by MILPERS; and Senior Executive Service (SES) positions by EPP.

 - b. The training and education of the acquisition workforce, including the data entry and maintenance of mandatory acquisition training records and the collection, verification, update, and input of all required acquisition information to the DCPDS as delineated in DoDI 5000.55 (Reference (g)). All acquisition information shall be processed by PSD for acquisition workforce members GS-15 or equivalent and below, and by EPP for SES members. MILPERS shall process military acquisition position data for military incumbents in WHS-Serviced Components.

 - c. Implementation of the requirements in section 1586 of Reference (d) regarding the placement rights of employees returning to the United States from overseas and those in the Priority Placement Program (PPP) Operations Manual (Reference (h)) regarding the PPP procedures to be followed in the recruitment for critical acquisition positions (CAPs).

 - d. The evaluation process when requested by WHS-Serviced Components and conducted by the Director, Acquisition Career Management, Office of the Under Secretary of Defense for Acquisition, Technology, and Logistics, Office of Human Capital Initiatives, who has cognizance for this function throughout the Fourth Estate. The Director, HRD, oversight role involves ensuring that the evaluation process includes a review of matters such as regulatory compliance, management of the acquisition information system including the accuracy of data and reports, workforce awareness of the acquisition career program execution of delegated authorities, and proper waiver practices.

 - e. The implementation and updating of a management information system capable of providing standardized information on acquisition positions and persons serving in acquisition positions as set forth in Reference (g).

3. HEADS OF WHS-SERVICED COMPONENTS. The Heads of WHS-Serviced Components, working through their Acquisition Workforce Manager, shall ensure compliance with the requirements of this AI for employees in their organizations.

ENCLOSURE 3

PROCEDURES

1. IDENTIFICATION, COLLECTION, AND INPUT OF ACQUISITION WORKFORCE POSITIONS

a. Identification of civilian and military acquisition positions by managers and supervisors for inputting into the DCPDS and the cognizant military personnel data system is critical to ensure the accuracy of WHS-Serviced Components workforce information on acquisition positions, filled and vacant; to meet reporting requirements; and to perform required personnel actions and activities.

b. Acquisition position information shall be contained in Secretary of Defense (SD) Form 812, "DoD Acquisition Position Description Coding Sheet (APDCS)," and SD Form 813, "DoD Acquisition Workforce Qualifications Coding Sheet (AWQCS)." The APDCS verifies the inclusion or deletion of civilian and military acquisition positions in the acquisition workforce database. The AWQCS provides qualifications information about pending and current employees in acquisition positions. The APDCS and AWQCS shall be signed by the supervisor of record for the acquisition workforce position and shall be updated as changes occur in the reporting requirements as outlined in Reference (g).

c. For all new or revised positions to be included in the acquisition workforce, the APDCS for civilian personnel shall be submitted by the administrative officer (AO) (or comparable position) with the Standard Form (SF) 52, "Request for Personnel Action," and any other required documentation needed for the requested personnel action. Positions being deleted from the acquisition workforce require only that the supervisor respond to questions 1 and 2 on the APDCS and sign the form.

d. In the remarks section of the Position Requirements Document (PRD) and the SD Form 37, "Office of the Secretary of Defense Request for Nomination and Position Description of Military Personnel," the following notations shall be made by the supervisor or AO for all acquisition workforce positions:

(1) If the Position is a CAP. "This is a critical acquisition position. The selectee must be a member of the Defense Acquisition Corps at the time of appointment and Level III-certified in Career Field (specify field) within 24 months of assignment to the position as required by the Defense Acquisition Workforce Improvement Act."

(2) If the Position is Not Critical. "This is an acquisition position. The selectee must be certified at (specify level) in the Career Field (specify field) within 24 months of assignment to the position."

e. To ensure the accuracy and currency of acquisition workforce position data, new or revised vacant positions designated for inclusion in the acquisition workforce must be entered by PSD into the DCPDS at the time of designation, not when candidates are selected for placement.

f. PSD shall monitor the input of all APDCS data for all civilian acquisition positions, GS-15 or equivalent and below, pay-band positions, and SES. MILPERS shall track all WHS-Serviced Components military acquisition positions. The Director will then forward the data to the Defense Manpower Data Center (DMDC). DMDC maintains the personnel data on all DoD civilian and military personnel. MILPERS shall maintain the original signed copies of APDCS establishing WHS-Serviced Components military acquisition positions.

2. COLLECTION AND INPUT OF ACQUISITION WORKFORCE QUALIFICATIONS DATA

a. When candidates are selected to fill vacant acquisition positions, information about their acquisition qualifications must be collected and entered into the DCPDS. Acquisition qualifications information on the selectee shall be recorded on the AWQCS. The WHS-Serviced Components Acquisition Workforce Manager and AO shall complete the AWQCS; the supervisor of record for the position shall sign it. For civilian positions, the AO shall forward the AWQCS to the PSD or EPP 3 workdays before the effective date of the personnel action to ensure timely input of the data to the DCPDS.

b. As qualification data on acquisition workforce incumbents is obtained or changes occur, this information must be input to the DCPDS. The AWQCS shall be used to update incumbents' qualification on a continuing basis. WHS-Serviced Components shall ensure that incumbent qualification data is collected and recorded on the AWQCS in a timely manner and forwarded to the PSD or EPP for input to the DCPDS. Reference (g) contains reporting procedures and a schedule of data requirements.

c. The PSD and EPP shall input and update data in the DCPDS related to civilian acquisition incumbent qualifications as provided by WHS-Serviced Components. Each Military Service shall collect and input data in the cognizant military personnel data system related to incumbent qualifications for their respective military acquisition personnel serving in WHS-Serviced Components.

d. To ensure the currency and accuracy of DCPDS acquisition data:

(1) The PSD, EPP, and MILPERS shall input new entries and updates to the appropriate data system no later than 5 workdays before the end of each quarter.

(2) The WHS-Serviced Component AO shall review and update acquisition workforce employee computer career briefs containing both acquisition position and incumbent qualification information at least semi-annually. To ensure the review is conducted on current acquisition data, the AO shall review and reconcile briefs within 2 weeks of receipt from PSD or

EPP, and return those requiring changes to the PSD or EPP, as appropriate, for input in the DCPDS.

3. RECRUITMENT, PLACEMENT, AND DOCUMENTATION OF ACQUISITION WORKFORCE PERSONNEL

a. Recruitment. The Defense Logistics Agency (DLA) shall prepare job opportunity announcements (JOAs), as requested by the WHS-Serviced Component, for acquisition workforce positions covering GS-15 or equivalent and below. EPP shall prepare JOAs for SES vacancies. MILPERS shall identify the requirements of acquisition billets to be filled within WHS-Serviced Components and shall requisition qualified military acquisition personnel to fill these billets in accordance with DoDD 1315.17 (Reference (i)).

(1) JOAs shall provide the following acquisition position information: the acquisition position category or career field, level, and whether it is a CAP, CAP not designated as a key leadership position (KLP), or a CAP designated as a KLP. They shall state the minimum qualifications outlined by the Office of Personnel Management (OPM) for the occupational series and grade level, as well as the mandatory acquisition position education, training, and experience required. Mandatory requirements shall be used as quality ranking factors in competitive assignments in accordance with Reference (e).

(2) The JOA must:

(a) State that only candidates meeting the requirements for Acquisition Corps admission will be selected unless a waiver is approved before assignment.

(b) State that signing a 3-year service agreement, DD Form 2888, "Critical Acquisition Position Service Agreement," is required as a condition of employment.

1. For CAP Not Designated as a KLP. Execute a written tenure agreement to remain in Federal service in this position for at least 3 years.

2. For CAP Designated as a KLP. Execute a written tenure agreement to remain in Federal service in this position for at least 3 years. The 3 year period may be tailored by the Component Acquisition Executive (CAE).

(c) Include the statement: "This is a Critical Acquisition Position. Unless specifically waived by the appropriate Component Official (i.e., the Director of Acquisition Career Management for the Component, the Service Acquisition Executive, or the Service Secretary) as set forth in Enclosure 5 of Reference (e), the following requirements mandated by sections 1733 and 1737 of title 10, United States Code must be met: (1) the selectee must be a member of the Defense Acquisition Corps at the time of appointment and Level III-certified in Career Field (specify field) within 24 months of assignment unless the Component Acquisition Executive waives CAP position requirements; and (2) the selectee must execute, as a condition of appointment, a written agreement to remain in Federal service in accordance with Reference

(e). In signing this agreement, the employee does not forfeit any employment rights, nor does the agreement alter any other terms or conditions of employment.”

b. Documenting Placement of Civilian Personnel. PSD shall maintain copies of acquisition workforce personnel records and other acquisition documents required by sections 1701-1764 of Reference (d), and References (e) and (g).

(1) With the exception of the CAP service agreement, all acquisition documents required to be retained shall be kept in the incumbent’s performance file. These include acquisition position and qualifications data; training documentation including certificates and fulfillments; documentation of waivers, Acquisition Corps admission, career-level certifications, and warrant authorizations for contracting officers; and CAP review and assignment change documentation.

(a) Documentation used to determine eligibility for Acquisition Corps membership shall be retained for as long as the individual is assigned to the WHS-Serviced Component. Copies of this documentation shall be provided to individual corps members pursuant to Reference (c).

(b) To prepare and process waivers, WHS-Serviced Components shall use the AT&L Workforce Waiver system, located at <http://www.atrrs.army.mil/channels/atlwaivers/>. A copy of the approved waiver shall be forwarded to the PSD for GS-15 employees or equivalent and below, or to the EPP for SES members, for filing in the acquisition incumbent Performance File and input to DCPDS.

(2) The CAP service agreement, if applicable, shall be kept in the incumbent’s official personnel file (OPF) by DLA. DLA or EPP, as appropriate, shall ensure that CAP service agreements are signed when individuals enter on duty. Both the employee and the supervisor of record for the position shall sign the agreement. The original shall be placed by DLA on the left (temporary) side of the OPF. The effective date of the SF 50-B, “Notification of Personnel Action (NPA),” shall be the date marking the beginning of the 3-year service agreement period. A notation shall be made by DLA in the Remarks section of the NPA for all CAPs, as follows: “This is a critical acquisition position that requires the signing of a 3-year service agreement, which was executed on (insert date agreement was signed).”

c. Documenting Placement of Military Personnel. The authoritative system of record for each Military Department shall maintain all position acquisition information related to WHS-Serviced Components military acquisition positions. The respective Service shall process, collect, and maintain in acquisition incumbents’ Service Military Personnel File all non-position information related to military acquisition personnel. This shall include:

(1) Processing waivers for military acquisition personnel, filing waiver documentation in and inputting approved waiver information to the respective Service-unique database in the quarter the approval occurs.

(2) Executing and maintaining CAP service agreements for military personnel.

d. Acquisition Workforce Employee Documentation. AOs shall encourage all acquisition personnel, civilian and military, to maintain a personal file of their acquisition documents, both current and historical, as a resource and backup to the data contained and maintained in their civilian OPF and performance file or military service file.

4. ACQUISITION TRAINING INFORMATION AND DOCUMENTATION

a. Training Standards. The mandatory education, training, and experience standards for each acquisition career field or position category are described in the Defense Acquisition University Catalog (Reference (j)). These constitute the basic career development plans for WHS-Serviced Components. WHS-Serviced Components shall not impose requirements in addition to those specified in Reference (j), except when those requirements:

- (1) Are determined to be organization-specific.
- (2) Are listed as “desired” in the Defense Acquisition Guidebook (Reference (k)).
- (3) Do not conflict with OPM policies or other governing regulations or statutes.

b. Training Information, and Documentation

(1) The WHS-Serviced Components Acquisition Workforce Manager, working with the WHS, HRD, Learning and Development Division shall:

(a) Ensure the acquisition workforce is educated and trained, conduct a needs assessment survey to secure course quotas and obtain funding for travel and per diem, enroll acquisition personnel in the appropriate courses, and track course completions (duty hours and non-duty hours).

(b) Ensure acquisition personnel training records are continually updated to show completion of mandatory and other acquisition courses; provide the PSD with:

1. A certificate of course completion that identifies the school, course name, attendance dates (start and completion), and duty hours.
2. A grade completion report that shows the college or university name, course name, credit hours (specified by quarter or semester), attendance dates (start and completion), and letter grade.
3. A memorandum, signed by the employee, that includes the information required in subparagraphs 4.b.(1)(b)1 and 4.b(1)(b)2 of this enclosure if neither a certificate of course completion nor a grade completion report are available. The employee’s immediate supervisor shall sign the memorandum, not to verify the information but to acknowledge its submission to the PSD.

(2) DLA shall provide data on approved fulfillments to the Fourth Estate Defense Acquisition Career Management Office for input in training databases in the quarter approved.

5. OVERSIGHT OF THESE PROCEDURES. The WHS-Serviced Component AOs shall:

a. Establish procedures to collect and retain information on waivers of qualifications, assignments, and tenure policies, procedures, and practices.

b. Work with the PSD and EPP to provide required acquisition information for input to the DCPDS.

c. Ensure that:

(1) Position requirements imposed by DAWIA are reflected in PRDs and position descriptions of record consistent with References (c) through (e).

(2) Selection for membership in the Defense Acquisition Corps includes a review of the individual's qualifications as prescribed by Reference (c) and Reference (e).

(3) Acquisition personnel within their organizations complete mandatory training established for their career field within the specified timeframe required.

(4) Data reported on the training status of the DoD acquisition workforce is collected and stored.

(5) Each acquisition workforce member's education, training, and experience is reviewed for purposes of certification at a career level within the designated career field or within any other career field requested by the employee.

(6) Implementation of the Acquisition Career Management Program effectively integrates military members working in WHS-Serviced Components acquisition workforce positions.

GLOSSARY

PART I. ABBREVIATIONS AND ACRONYMS

AI	Administrative Instruction
AO	administrative officer
APDCS	Acquisition Position Description Coding Sheet
AWQCS	Acquisition Workforce Qualifications Coding Sheet
CAE	Component Acquisition Executive
CAP	critical acquisition position
DAWIA	Defense Acquisition Workforce Improvement Act
DCPDS	Defense Civilian Personnel Data System
DLA	Defense Logistics Agency
DMDC	Defense Manpower Data Center
DoDD	DoD Directive
DoDI	DoD Instruction
EPP	Executive and Political Personnel Division
GS	General Schedule
HRD	Human Resources Directorate
JOA	job opportunity announcement
KLP	key leadership position
MILPERS	Military Personnel Division
NPA	notification of personnel action
OPF	official personnel file
OPM	Office of Personnel Management

PPP	Priority Placement Program
PRD	position requirements document
PSD	Personnel Services Division
SAE	Service Acquisition Executive
SD	Secretary of Defense (form)
SES	Senior Executive Service
SF	standard form
WHS	Washington Headquarters Services

PART II. DEFINITIONS

These terms and their definitions are for the purpose of this AI.

acquisition position. A civilian position or military billet that is in the DoD acquisition system, has acquisition duties, and falls into an acquisition position category. While acquisition positions are most frequently located in organizations having an acquisition mission, they may also be located in other organizations.

acquisition position category. One of the 16 functional subsets of acquisition positions. The acquisition position categories are:

Acquisition Attorneys

Auditing

Business, Cost Estimating

Business, Financial Management

Contracting

Facilities Engineering

Industrial/Contract Property Management

Information Technology

Life Cycle Logistics

Production, Quality, and Manufacturing

Program Management

Purchasing

Systems, Planning, Research, Development and Engineering – Science Technology Manager

Systems, Planning, Research, Development and Engineering – Systems Engineering

Systems, Planning, Research, Development and Engineering – Programs Systems Engineering

Test and Evaluation

acquisition workforce. All permanent civilian personnel and military members who occupy acquisition positions, are members of the Defense Acquisition Corps, or are in acquisition development programs.

CAE. Secretaries of the Military Departments or Heads of Defense Agencies with the power of redelegation. In the Military Departments, the officials delegated as CAEs (also called Service Acquisition Executives (SAEs)) are, respectively, the Assistant Secretary of the Army (Acquisition, Logistics, and Technology), the Assistant Secretary of the Navy (Research, Development and Acquisition), and the Assistant Secretary of the Air Force (Acquisition). The CAEs are responsible for all acquisition functions within their Components. This includes both the SAEs for the Military Departments and acquisition executives in other DoD Components, such as the U.S. Special Operations Command and DLA, which also have acquisition management responsibilities.

CAP. Defined in section 1733 of Reference (d).

CAP service agreement. An agreement required of all employees assigned to or selected to fill a CAP in accordance with section 1734 of Reference (d) and Reference (e).

career field. Two or more occupations requiring similar knowledge and skills. The 16 acquisition career fields are the same as the acquisition position categories defined in this Glossary.

Defense Acquisition Corps. The Defense Acquisition Corps is a select group of highly skilled military and civilian acquisition professionals who meet certain education, training, and experience requirements.

Fourth Estate. The OSD, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Office of the Inspector General, the Defense Agencies, the DoD Field Activities, and all other organizational entities in the DoD that are not in the Military Departments or the Combatant Commands.

fulfillment. A process by which acquisition workforce members may satisfy mandatory training requirements based on previous experience, education, or alternative training successfully completed and documented in accordance with course competency standards and procedures. Fulfillment documentation must be recorded on DD Form 2518, “Fulfillment of DoD Mandatory Training Requirement.”

KLP. A subset of a CAP with a significant level of responsibility and authority that is key to the success of a program or effort. KLPs warrant special management attention to qualification and tenure requirements.