



INSTITUTE FOR DEFENSE ANALYSES

**Defense Governance and Management:
Improving the Defense Management
Capabilities of Foreign Defense
Institutions**

Human Resource Management

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Executive Summary

This is the Institute for Defense Analyses' (IDA) sixth major methodological publication in its continuing series on Defense Governance and Management Improving the Defense Management Capabilities of Foreign Defense Institutions. The first five publications covered policy and strategy development, program budgeting, capability-based planning, joint concept and doctrine development, and the necessity and utility of relational databases for nations that want to conduct multi-year force planning and budgeting.¹ This report focuses on human resource management (HRM).

Human resource management is defined as the processes, people, and infrastructure to recruit and retain, train and educate, track, and effectively employ people in an organization, in synchronization with plans and policies.² Managing human resources—ensuring that the right people are in the right jobs at the right time and motivating them to work effectively and efficiently—is the essence of military success. The goal of an HRM system is to have a force structure that meets a nation's strategic objectives and security needs.

HRM is a key component of a nation's overall defense management and governance system and is closely linked to strategy/policy and resource management. In order to be successful, staffing management must be integrated into an effective defense planning and budgeting system that links resources to national security strategy. HRM is also key to force development and force employment, which provides the personnel and preparation required to utilize a military force for military operations.

Several HRM functions identify the number and types of personnel and units the military force requires (HRM demand), as well as identify, train, assign, retain, and compensate person-

¹ See the following IDA publications: Martin Neill et al., *Defense Governance and Management: Improving the Defense Management Capabilities of Foreign Defense Institutions, Part 1: Defense Policy and Strategy Development for Foreign Defense Institutions, Part 2: Defense Governance and Management: Defense Policy and Strategy Seminar Material*, March 2017; Aaron C. Taliaferro et al., *Defense Governance and Management: Improving the Defense Management Capabilities of Foreign Defense Institutions, Part 1: Program Budgeting, Part 2: Program Analysis Seminar*, March 2017; Thomas J. Wallace et al., *Defense Governance & Management: Improving the Defense Management Capabilities of Foreign Defense Institutions Using a Relational Database (FOCIS) to Improve Defense Force Planning and Budgeting, An Overview for Project Leaders*, March 2017; Aaron C. Taliaferro et al., *Defense Governance and Management: Improving the Defense Management Capabilities of Foreign Defense Institutions—A Guide to Capability Based Planning (CBP)*, Feb 2019; Mark Vinson et al., *Defense Governance and Management: Improving the Defense Management Capabilities of Foreign Defense Institutions—Promoting a Joint Armed Forces Culture and Improving the Capability of Foreign Defense Institutions through Joint Concept and Doctrine Development*, Dec 2020.

² DIB Challenges, DIRI, 2016

nel in order to satisfy the demand signal for personnel (HRM supply). Several additional functions support the other human resource management functions. The HRM functions detailed in Section 1 of this report are:

- Staffing
- Recruiting and Retention
- Education and Training
- Distribution and Utilization
- Compensation and Quality of Life
- Support Functions, including staff and organization, policies, oversight, and data systems

Several implications and issues relevant to HRM in the United States, as well as in partner nations, should be considered when designing, implementing, and reforming/strengthening HRM systems: rising personnel costs; talent acquisition and retention; ensuring alignment of HRM to overall national security and military strategies; managing the civilian workforce; and advancing Women, Peace, and Security goals.

Sections 2 and 3 of this report include briefing slides and a framework to help the DIB practitioner assess processes and systems for human resource management, which includes understanding the existing system for planning and implementing HRM, as well as diagnosing the system to identify potential opportunities for institutional capacity building. This framework details HRM functions and sub-functions, in service of generating open-ended questions to use in an assessment. This questionnaire was developed to help engagements for the implementation of this model, but further work to refine both the questions and the design of the questionnaire may be appropriate.

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1. Human Resource Management for Foreign Defense Institutions

A. Introduction to Human Resource Management

Human Resource Management (HRM) is defined as the processes, people, and infrastructure to recruit and retain, train and educate, track, and effectively employ people in an organization, in synchronization with plans and policies.³ HRM's objective is to maintain a force structure that reflects and is adapted to the security context, available resources, and security and defense needs and objectives of a nation, and to do so as efficiently as possible.⁴ Having an effective HRM system is crucial, because qualified and motivated people are necessary to turn budgets and weapons systems into military capabilities required for a nation's security.⁵ Managing human resources—ensuring that the right people are in the right jobs at the right time and motivating them to work effectively and efficiently—is the essence of military HRM success. It is required to adapt a force structure to maintain the optimum preparedness and capabilities.⁶

Although every nation manages its defense institutions, including HRM, differently, every nation needs an overarching HRM concept with relevant policies, programs, and infrastructure to manage its force structure and people in its security forces and defense management organizations. The absence or failure of an HRM system will directly affect a nation's defense posture. Hence, partner nations should be significantly interested in adapting and transforming their strategic HRM system to align with international best practices.⁷

Despite the importance of HRM, transforming and adapting HRM in a nation is inherently challenging even in the best circumstances. Strategic HRM must balance myriad challenges facing a nation, including economic and cultural circumstances, while managing vested interests within a nation's military and political structures. Likewise, HRM's different elements often are at odds with each other, which creates conflict and inertia when transforming HRM

³ DIB Challenges, DIRI, 2016

⁴ DCAF Security Sector Integrity, Human Resource Management, <https://securitysectorintegrity.com/defence-management/human-resources-management/>

⁵ Jack Treddenick, "Manpower Management," in *Defence Management: An Introduction*, ed. Hari Bucur-Marcu (Geneva: DCAF, 2009), 125.

⁶ Treddenick, "Manpower Management," 125.

⁷ Henry A. Leonard, "Human Resource Management," in *Effective, Legitimate, Secure: Insights for Defense Institution Building*, ed. Alexandria Kerr (Washington DC: National Defense University, 2017), Nov 2017, 1.

systems. One example is the tension between current readiness, which involves retaining people in positions for longer periods of time to capitalize on their experience, and long-term readiness which argues for rotating people through key developmental positions.⁸

Another challenge is the conflict between a nation's changing security environment and time required to adapt its HRM posture. Required force structures are constantly evolving in response to new threats and challenges, financial constraints, and new technologies. However, adapting HRM systems—that requires recruiting, training, deploying, promoting, and releasing individuals in order to meet force structure requirements—has long lead times and can take years.⁹

B. HRM in the Defense Planning and Management Context

1. HRM's relationship to other defense governance functions

HRM is a key component of a nation's overall defense management and governance system and is closely linked to strategy/policy and resource management. In order to be successful, HRM management must be integrated into an effective defense planning and budgeting system that links resources to national security strategy.

Figure 1 illustrates the five core institutional functions that “enable defense institutions to organize, train, equip, and sustain military capability, which is purposed to undertake military operations.”¹⁰

- ***Policy and Strategy.*** This domain represents establishing defense objectives with links to national policy and strategy. Policy and Strategy set the ends or objectives to be achieved and to which a country's defense institutions will align their courses of action (ways) and effort/ resources (means).
- ***Concepts and Doctrine.*** This domain describes the ways in which a country's force will operate (i.e., doctrine) or will aspire to operate (i.e., concepts). The ends of a country's national and defense policy and strategy drive its doctrine and concepts.
- ***Resource Management.*** This domain represents planning for affordable future defense capabilities (means) that are aligned to a country's national and defense doctrine and concepts (ways) that are driven by national and defense policy and strategy (ends).
- ***Human Resource Management.*** This domain reflects managing the required human resources to create and sustain a country's military force. This domain applies not only to uniformed military personnel (active and reserve), but also to the civilians who support them.

⁸ Leonard, “Human Resource Management,” 1.

⁹ Treddenick, “Manpower Management,” 126.

¹⁰ Wade P. Hinkle et al., *Foreign Culture and its Effect on US DoD Efforts to Build Capacity of Foreign Defense Institutions*, (Alexandria, VA: Institute for Defense Analyses, Oct 2013), 25.

- **Logistics.** This domain covers management of the material resources required to create and sustain a country's military force.

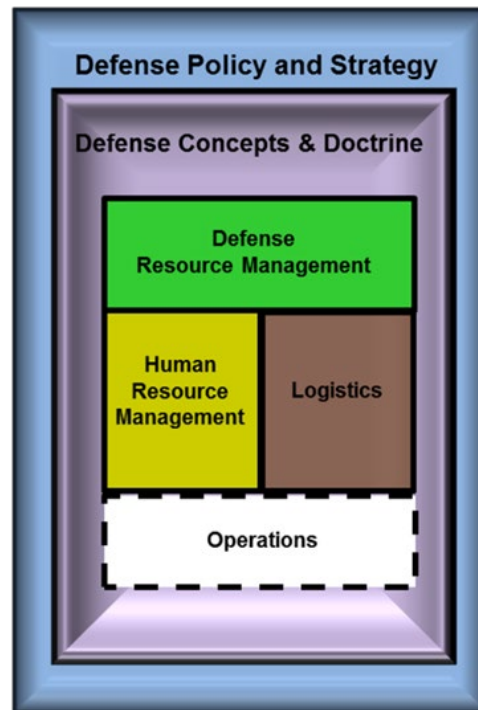


Figure 1. Defense Management Domains

C. HRM in Force Development and Force Employment

The ultimate goal of applying the defense management domains is to create capable military forces. Figure 2 illustrates the interaction of the domains to support force development and force employment, which provides the personnel and preparation required to deploy a military force for military operations. The capability of a country's forces is a function of how well its leadership applies the defense management domains to plan for, integrate, and balance the structure (i.e., units/ organizational design and personnel), investment (i.e., systems and equipment, and facilities), and readiness (i.e., training and exercises, operational tempo, equipment maintenance, stocks, and facilities utilization) (see Figure 3).

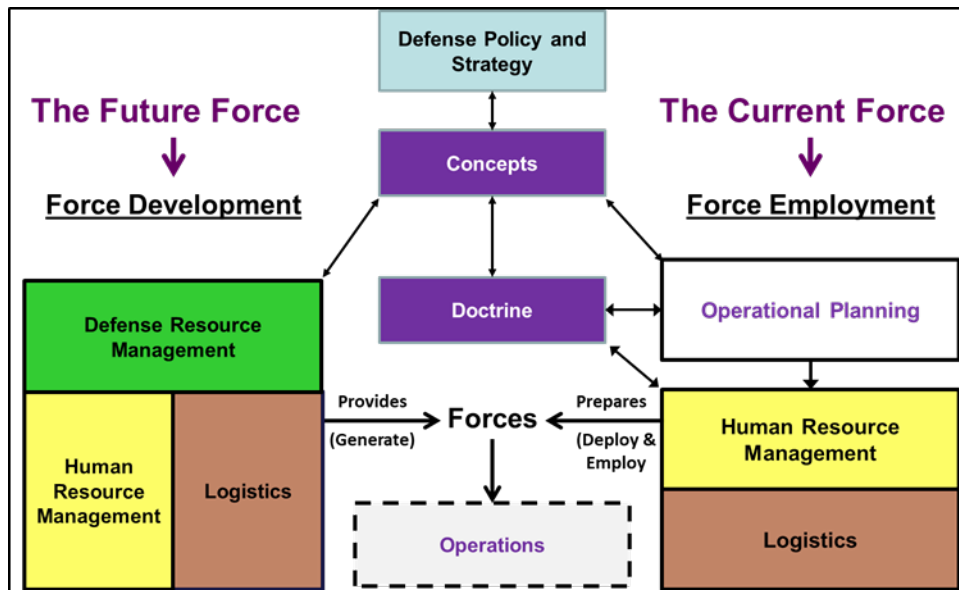


Figure 2. The Interaction of Defense Management Domains

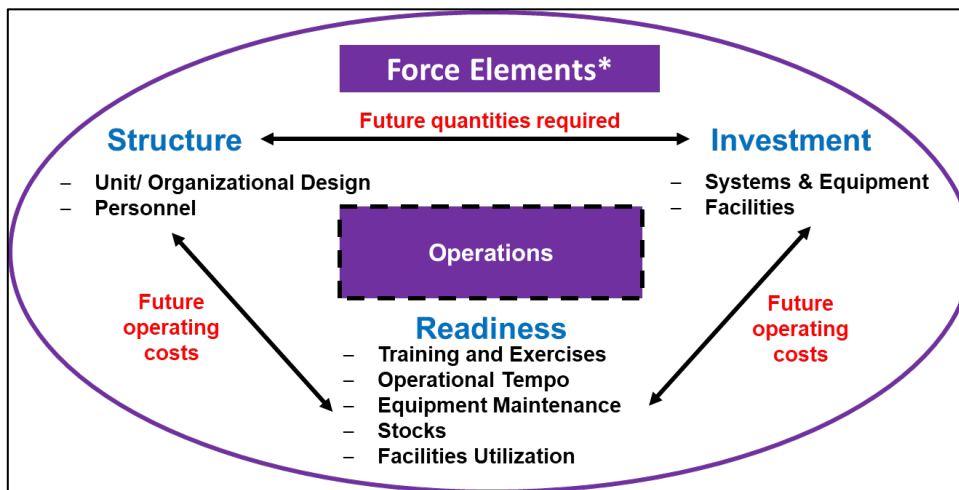


Figure 3. Illustration of the Balance Necessary between Structure, Investment, and Readiness in order to Create a Capable Force

1. HRM Functions

As discussed, the goal of an HRM system is to have a force structure that meets a nation's strategic objectives and security needs. Figure 4 illustrates a framework for a nation's HRM system and the relevant functions required for HRM demand, supply, and support.

On the demand side of HRM, the challenge is to develop staffing requirements generated by a force planning system, which includes a portfolio of required skills, experience, age, and ranks. On the supply side, the goal is to meet the staffing needs through an interdependent system of recruiting/retention, distribution/utilization, education and training, and compensa-

tion/quality of life functions. The HRM support functions govern the overall process and provide the oversight, organizational and managerial functions, as well as the policies, and data systems to effectively manage and track HRM processes.

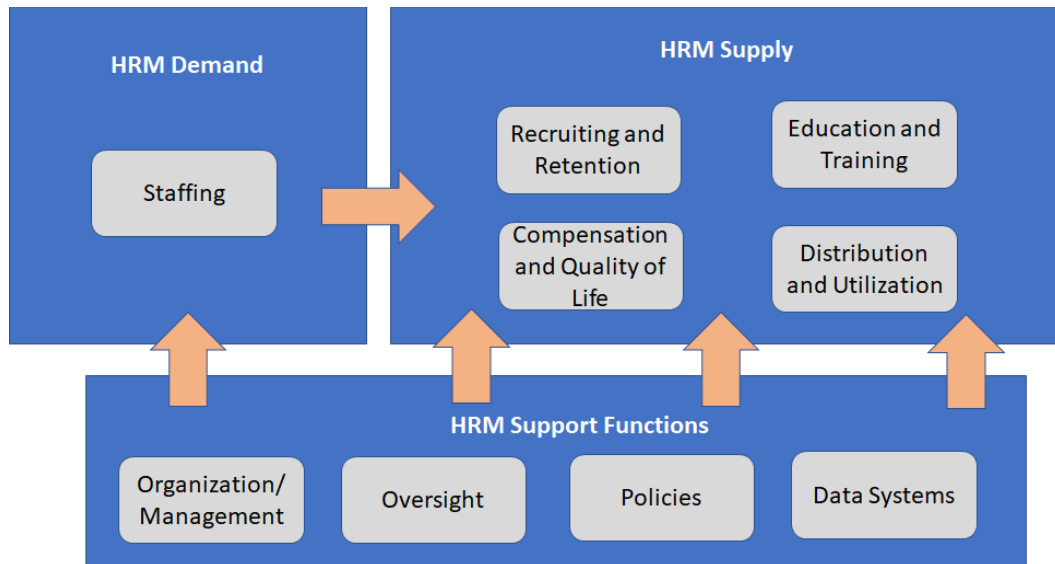


Figure 4. HRM Demand, Supply, and Support Functions

Below is a more detailed description of the HRM functions.

- **A. Staffing function.** Constrained by resource availability, this function aligns force structure (i.e., units and individuals) and job classifications (i.e., rank, military occupational specialty) to a country's priority missions and capabilities. It provides the data driven analysis that establishes the demand signal for units, and the numbers and types (i.e., skillsets) of personnel required to support and sustain the force's capabilities. This function maintains a flexible, adaptive, and responsive program in order to respond to crises, new strategic policies, and new security management strategies as they arise.¹¹
- **B. Human Resources life cycle-related functions.** These functions represent portions of the military service life cycle.
 - *Recruiting and Retention functions.* These functions deal with attracting and retaining personnel for military service.
 - *Education and Training function.* This function focuses on ensuring that the necessary individual and occupational skills training, education, and leadership development is available to meet the demands of a country's force. Education and training

¹¹ Office of the Under Secretary of Defense for Personnel & Readiness, DoDD1100.4, Guidance for Manpower Management. Washington: US Department of Defense, 2005, 2.

are particularly pivotal in determining unit readiness. This function is also linked to establishing and managing career paths for defense personnel.

- *Distribution and Utilization functions.* These functions cover assigning and reassigning individuals to occupational specialties, units, and training and education courses. This requires managing and monitoring individual performance and synchronizing individual assignments with unit rotation schedules (i.e., train, deploy, employ, reset cycle). Other elements these functions address include managing a promotion system and retirement, separation, and transition (i.e., out of service) actions, as well as enacting and enforcing policies and standards for remaining in service, sub-standard performance, and behavioral transgressions.
- *Compensation and Quality of Life function.* Particularly important for an all-volunteer force, this function focuses on direct compensation (e.g., base pay, special pay, bonuses), deferred compensation (e.g., retirement pay, death or disability pay), and non-monetary compensation (e.g., health care, housing, physical fitness, recreation, education, preferred loans). This function's objectives are to incentivize personnel to join and remain in military service, to motivate better performance, and to respond to force shaping (e.g., increases or reductions in force size). Uniform can also be added to this function.
- **C. Support Functions.** Several support functions for human resource management are typically the responsibility of the Ministerial or Armed Forces Headquarters' staff, including but not limited to:
 - *HRM Organization/Management function.* This function addresses planning and evaluation activities and maintaining central data systems in order to oversee the human resource management enterprise.
 - *HRM Oversight function.* This function includes independent oversight mechanisms to deal with and resolve human resource decisions and personnel matters, such as grievances between individual members and the military organization. It could include an inspector general or military ombudsman.
 - *HRM Policies function.* This function covers developing and integrating policies guiding and impacting the human resource management enterprise.
 - *HRM Data Systems function.* This function focuses on collecting and maintaining the data necessary to track individual personnel actions and perform analyses to support policy development and budget planning.

2. HRM Functional Interaction

Figure 5 illustrates the interaction of these human resource management functions. Some of the functions identify the number and types of personnel and units the military force requires

(i.e., personnel demand signal). Others identify, train, assign, retain, and compensate personnel in order to satisfy the demand signal for personnel. Several additional functions enable the other human resource management functions. Though this paper discusses both military and civilian personnel in regards to the functions, there is a greater emphasis on military personnel. Most defense institutions have more military personnel than civilians, and deficiencies in military recruitment and retention are directly related to problems in readiness.

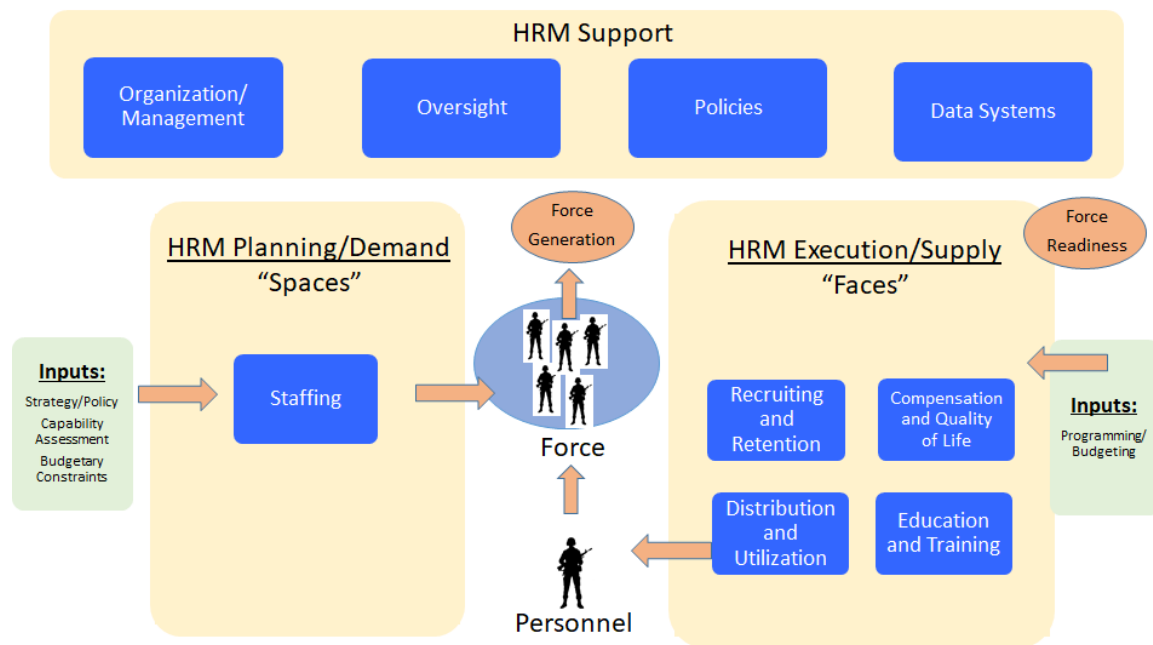


Figure 5. Interaction between Human Resource Management Functions¹²

D. Staffing

Staffing links mission capabilities to programmed resources. The first major task of an HRM system is to develop a portfolio of staffing requirements by assessing current and future needs, as well as available and future resources.¹³ This process should consider force structure requirements drawn from the nation's national military strategy and security objectives, as well as known budgetary constraints. HRM's objective is to determine the optimal force configuration within a given budget line, because security and defense budgets and budget regulations will define the scale and form of the armed forces.¹⁴ It should also consider non-financial restrictions imposed by the political process such as government- or parliamentary-imposed ceilings on total force size and how that force can be employed.¹⁵ It is crucial that the HRM system

¹² The concept for this graphic was developed in collaboration with colleagues at RAND

¹³ DCAF Security Sector Integrity, Human Resource Management.

¹⁴ Treddenick, "Manpower Management," 132.

¹⁵ Treddenick, "Manpower Management," 132.

consider both current and future requirements and the need to sustain the force over time.¹⁶ It is also critical for staffing to ensure career sustainability of military (Active or Reserve) and civilian skillsets.¹⁷

Staffing requirements should determine the organizational structure that would best serve a nation's needs and resonate with its culture. For example, some cultures allow mid-level technical support personnel or operational military personnel to plateau and serve in grade until retirement. This model saves on recruiting and training costs and offers continuity of knowledge. Such a workforce model, heavy with mid-level personnel, may look more like a diamond shape than a pyramid, which has been the historical norm for the U.S. Armed Forces. Such a structure keeps technically proficient people in the force. These are not people that are necessarily going to lead the organization, but they are essential for a modern volunteer military with many complex, technical requirements. In a nation with a limited education infrastructure and a limited human capital resource base, a diamond structure with a concentration of mid-level personnel may also be a necessity born of circumstances.¹⁸

The next step in establishing HRM demand is developing authorization documents that classify staffing requirements. This classification system would specify a sustainable grade structure and experience profile for the force and would include the number of people per major unit, specialty, and grade.¹⁹ It would also account for requirements for each position, so that candidates can be accurately allotted to open positions. This could include rank, technical skills, educational requirements, years of experience, as well as function and level of responsibility. A staffing classification system should also consider attrition, which is the proportion of the force, or any of its particular components, that can be expected to leave at any given point in time.²⁰

E. Recruiting and Retention

The role of recruiting and retention is to attract and retain the right people with the right skills for the right positions that need to be filled. That means the right systems must be in place to attract and retain personnel into the correct grades and aptitudes in numbers sufficient to satisfy force requirements, especially in an all-volunteer force. It also ensures that recruiting and retention of personnel should be based on fair and open qualification standards. An effective recruitment and retention capability should, in coordination with the compensation and quality of life function described below, provide positive incentives that encourage recruits to honor their contracts thus reducing unexpected attrition.²¹

¹⁶ Leonard, "Human Resource Management," 9.

¹⁷ DODD 1100.4, Guidance for Manpower Management.

¹⁸ DIRI HRM Generic Master Plan, 9.

¹⁹ Leonard, "Human Resource Management," 9.

²⁰ Treddenick, "Manpower Management," 135.

²¹ DIRI HRM Generic Master Plan.

Recruiting involves outreach to potential recruits, establishing and executing application procedures, eligibility standards, applicant screening, employment contracts, and intake procedures. The HRM system identifies, screens, and acquires its entrants through a fair and transparent recruiting or conscription process or both. The recruitment system must set and enforce qualification standards and have the ability to test and screen applicants or conscripts using those standards. The recruitment processes should also consider recruiting enlisted, officers, as well as civilians.

Once staffing requirements (including numbers of people and required qualifications) are determined in the HRM demand processes, the next stage of HRM is to determine the source of the required intakes. The main sources are conscription and more commonly, recruiting untrained staffing. Whether a country uses conscription as a source of untrained staffing depends on a variety of factors, including the country's history and geographic position, as well as the perception of the comparative cost effectiveness of conscript and voluntary forces. The main advantage of conscription is the availability of a reliable supply of staffing at a low cost. It is also an effective recruiting tool for professional armed forces by introducing young people to opportunities associated with military service. The disadvantages are that the short amount of time that conscripts serve is inadequate to transfer the skills and experience necessary for modern warfare. Likewise, in many cases, conscripts may be less enthusiastic about military service, limiting their effectiveness.²² However, universal conscription for a population provides the means to rapidly expand the force during national emergencies without relying on untrained staffing, due to the number of veterans in the population.

The supply of military staffing, whether through conscription or a volunteer force, is conditioned by the size and age distribution of a nation's population. As birth rates fall and life expectancies increase, there is a diminishing number of persons in cohorts from which military recruits are drawn. This is especially true in Europe and other regions with relatively smaller immigrant populations. The answer to this recruiting challenge is a combination of establishing the non-pecuniary benefits of the military experience, as well as providing pay, educational and career opportunities, benefits, and other incentives. The key to military recruitment is that it is perceived as a desirable employer, especially compared to civilian sector employment that often offers higher pay.²³

After initial recruiting, HRM's next task is to sustain the force structure through the retention of the appropriate numbers of personnel with the necessary qualifications.²⁴ Effective retention begins by establishing retention goals based on staffing requirements and projected predicted losses of personnel. Retention planning should establish processes to compare retention goals with anticipated behavior and then adjust policies or incentive flexibilities accordingly.

²² Treddenick, "Manpower Management," 139.

²³ Treddenick, "Manpower Management," 141–42.

²⁴ Treddenick, "Manpower Management," 143.

Incentives would be applied to encourage the required number of personnel to continue their careers in the military.²⁵ Incentives such as separation payments would also be used to motivate personnel to depart when there are personnel surpluses.²⁶

There are other ways to augment the force when conventional recruiting cannot meet staffing requirements in a timely manner. One option is to use civilian government employees in previously filled military roles, especially administrative or other non-combat positions. Another option is contracting specific tasks to contract firms. Contractors are often less costly than government employees in the short-term and provide flexibility for such requirements. However, the use of contractors has disadvantages, such as difficulties of control.²⁷ A transition to civilian or contractor employees is best done when the organization has determined there is no longer a military essential need for uniformed personnel to perform that function.

Workforce rationalization can be used to ensure the most appropriate and cost-efficient mix of military, civilian, and contractor personnel to perform defense missions. It is a set of strategies and practices to improve organizational efficiency and create the decision space to consider the best use of personnel based on mission requirements, workload, and risk. This means aligning uniformed personnel to only military essential requirements; maintaining sufficient levels of government civilians to perform inherently governmental tasks, including awarding of contracts and financial/budgetary decisions; and providing cost effective and economical solutions, via contracting mechanisms, for all other work.²⁸

F. Distribution and Utilization

Distribution and Utilization ensure qualified and available personnel are assigned to units based on documented requirements and priorities, with transition to separation/retirement as appropriate. It also includes performance evaluations, awards, and disciplinary systems to incentivize positive performance.

Staffing and assignments are closely linked to the staffing classification and requirements system, as well as to other functions in HRM including training, education, and recruitment. An assignment process addresses vacancies in the organizational structures determined by staffing classification and the development of authorization documents. It ensures that formal, objective criteria are established for selecting personnel to fill these vacancies.²⁹ The selection criteria should include training, education, and experience requirements. The assignment pro-

²⁵ Leonard, "Human Resource Management," 12–13.

²⁶ Treddenick, "Manpower Management," 143.

²⁷ Treddenick, "Manpower Management," 151.

²⁸ DoD Workforce Rationalization Plan.

²⁹ DIRI HRM Master Plan.

cess also includes selection procedures that the workforce understands, and processes for collecting and keeping records that objectively, systematically, and consistently reflect the key factors, including performance, connected with assigning and selecting personnel to positions.³⁰

An assignment system should be linked to career management to ensure that positions are filled based on immediate needs and required qualifications, while also considering professional development and the experience that incumbents will gain in the position to guide future opportunities.³¹ They also try to balance service member preferences with institutional needs, which is critical to retention in an all-volunteer force.

A promotion system should also be based on formal, objective criteria that is well understood and disseminated throughout the workforce. Promotions usually depend on the completion of well-defined tasks, including training and education requirements and experience gained through assignments with increased responsibility.³²

Separation and transition processes should align with force-shaping goals and personnel inventory management. Separations should be based on clearly articulated standards and criteria. Involuntary separations are a necessary component of the HRM system. Their fairness in design and implementation should include provisions for an independent appeals process. Likewise, there should be transition assistance and transition benefits to enhance the fairness of a separation system.³³ This could include training and mentoring to defense personnel as they transition from military to civilian life. The separation system should also encourage military personnel to transition from military to civilian life, as required (e.g., when a demobilization, disarmament, and reintegration process occurs).³⁴

Effective HRM includes establishing a retirement system that rewards dedicated service, adequately provides for retirees (in many cases through pensions), and complements the rest of the HRM system to accomplish force-shaping goals.³⁵ The retirement system could include mandatory retirement ages, and consider age, time-in-grade, time-in-service or disqualifying medical conditions. An HRM system could include periodically reviewing retirement to ensure that benefits for officers and soldiers is comparable with that of the private and public sectors so that the system neither promotes perverse nor negative incentives towards military service.³⁶

An objective and transparent performance management system is a key component of a strategic HRM system, and is closely connected to other distribution and utilization functions, including separation, promotion, and disciplinary systems, as well as staffing classification,

³⁰ Leonard, "Human Resource Management," 14.

³¹ Leonard, "Human Resource Management," 11.

³² Treddenick, "Manpower Management," 128.

³³ Leonard, "Human Resource Management," 16.

³⁴ DIRI HRM Master Plan

³⁵ Leonard, "Human Resource Management," 16.

³⁶ DIRI HRM Master Plan

selection/assignment of personnel, and training and education. The system should establish and publish clearly articulated goals, which include criteria for evaluation, performance, potential, key competencies, knowledge and skills, as well as professional values and standards. The system should also establish methods to use in evaluations, such as evaluation forms, and should develop policies for periodic counseling and goal-setting.³⁷

A performance management system should have objective and widely disseminated goals on how evaluations will be used in force management. This should include criteria for how evaluations will be used to promote or separate personnel, and select personnel to command postings.³⁸ Performance management could also include other means to recognize achievements, such as awards and bonuses.³⁹

A transparent and judicially-based disciplinary system should help produce good order and discipline throughout the force, and serve as a negative incentive to desertion and unexcused absence. It can provide for judicial punishment, as well as non-judicial and administrative action. This system should be linked to a code of military justice that governs the behavior of military personnel, as well as regulations pertaining to negative actions such as bribery.⁴⁰

G. Education and Training

Education and training ensure education, occupational skills training, professional military education, and leadership development are linked to career paths to help service members advance their careers and support mission requirements. An effective professional development system offers requirements for training and education of the force and aligns individual development needs with staffing requirements.⁴¹ It should identify training and experience requirements associated with upcoming vacancies and should ensure that expertise levels of uniformed and civilian personnel are appropriate to their roles and meet required levels of competencies. There should be objective criteria to select personnel for required training and education.

Initial entry training and onboarding ensure that new recruits (both officer and enlisted) are adequately trained and qualified. This should ensure there are sufficient numbers of properly trained and qualified personnel operating in organized entry training institutions (academies, training bases, etc.) with sufficient equipment and facilities to meet requirements.

Education and training requirements should be tracked through a system that monitors accumulated experience, and helps identify education and training gaps for candidates.⁴² A system should validate that training and education courses are imparting the necessary skills and

³⁷ Leonard, "Human Resource Management," 5.

³⁸ DIRI HRM Master Plan

³⁹ Leonard, "Human Resource Management," 15.

⁴⁰ DIRI HRM Master Plan

⁴¹ Leonard, "Human Resource Management," 13.

⁴² Leonard, "Human Resource Management," 13.

information to the force.⁴³ An HRM system must also develop and maintain the capacity to provide required education and training. This includes professional military education institutions that present all levels of required training and education.⁴⁴

H. Compensation and Quality of Life

Compensation and quality of life ensures a fair and defined system for compensation and benefits as positive incentives to the force. Pay and benefits policies should be linked to recruiting and retention strategies and supported by the planning and budgeting process.⁴⁵

A comprehensive compensation and benefits system integrates the effects of monetary and non-monetary compensation. It is normally based on pay and allowances based on personnel qualifications, including time in service, rank, and experience.⁴⁶ There should be mechanisms to ensure that pay is accurate, rates are objective, and pay tables are widely disseminated (i.e., reflected in published pay tables).⁴⁷ Pay and benefits can include retirement pay/pensions, allowances, disability, special duty pay, etc.⁴⁸ Supplementary compensation and bonuses are useful to incentivize skills, reward certain duties, and shape the force longitudinally.⁴⁹

Quality of life programs incentivize and shape the force by attracting and retaining candidates and motivating personnel. In many partner nations they are known as “social support programs.” These can include a military health system, housing, education benefits, help during employment searches, job counseling, childcare assistance, and recreational facilities and programs. These programs can be designed to directly impact members of the workforce as well as their families.⁵⁰ Recognizing and rewarding employee performance through awards should be an important part of a performance management process, to increase motivation and morale.⁵¹

I. HRM Implications and Issues

The following implications and issues are relevant to HRM in the United States as well as in partner nations, and should be considered when designing, implementing, and reforming and strengthening HRM systems.

⁴³ DIRI HRM Master Plan

⁴⁴ Defense Institution Effectiveness Methodology (DEFINE). Institute for Defense Analyses. 2019

⁴⁵ DIRI HRM Master plan

⁴⁶ Leonard, “Human Resource Management,” 16.

⁴⁷ DIRI HRM Master Plan

⁴⁸ DIRI HRM Master Plan

⁴⁹ Leonard, “Human Resource Management,” 16.

⁵⁰ Leonard, “Human Resource Management,” 17.

⁵¹ DoD Instruction 1400.25, Volume 451, “DOD Civilian Personnel Management System: Awards”

- Personnel costs: In the United States, as is the case in numerous partner nations, personnel-related expenditures are high relative to the total cost of defense budgets. These costs include regular and special pay and benefits including retirement and health care expenditures, as well as recruiting and retention costs. This impedes modernization initiatives and could threaten the long-term sustainability of the force.⁵² In order to address this issue, “career cycle costs” and the implication of policies on compensation, benefits and pensions, and career management need to be better understood.
- Talent acquisition and retention, including rewarding best performers: Military housing, pay parity with the civilian sector, dress and appearance, health care, child care, cyber security, promotion parity, and military transition services are just a few of the areas affecting talent acquisition and retention in the defense workforce.⁵³ Policies that prevent access to and sharing of personnel data from the military department to joint and interagency departments are barriers to the career development and personnel advancement as they perform their duties outside of their military department.
- Ensuring HRM aligns to overall national security and military strategies: The flexibility, adaptability, and responsiveness required of the HRM to changes in national security, strategic policies, and military strategies may require planning and lead time to implement.⁵⁴
- Managing the civilian workforce: A recent GAO report on the civilian workforce recommended the Department of Defense update policies to collect barrier-related data on women and historically disadvantaged groups, assign clear oversight roles, and measure/track progress on eliminating those barriers.⁵⁵
- Advancing Women, Peace, and Security (WPS) goals: In addition to having two women each lead two combatant commands, the DoD has started to hire dedicated WPS personnel staffs, to update professional military education curriculum, and to establish a DoD WPS Strategic framework and Implementation Plan.⁵⁶

⁵² Harper, Pentagon Costs at Historic High, Pentagon Personnel Costs at Historic High (nationaldefensemagazine.org)

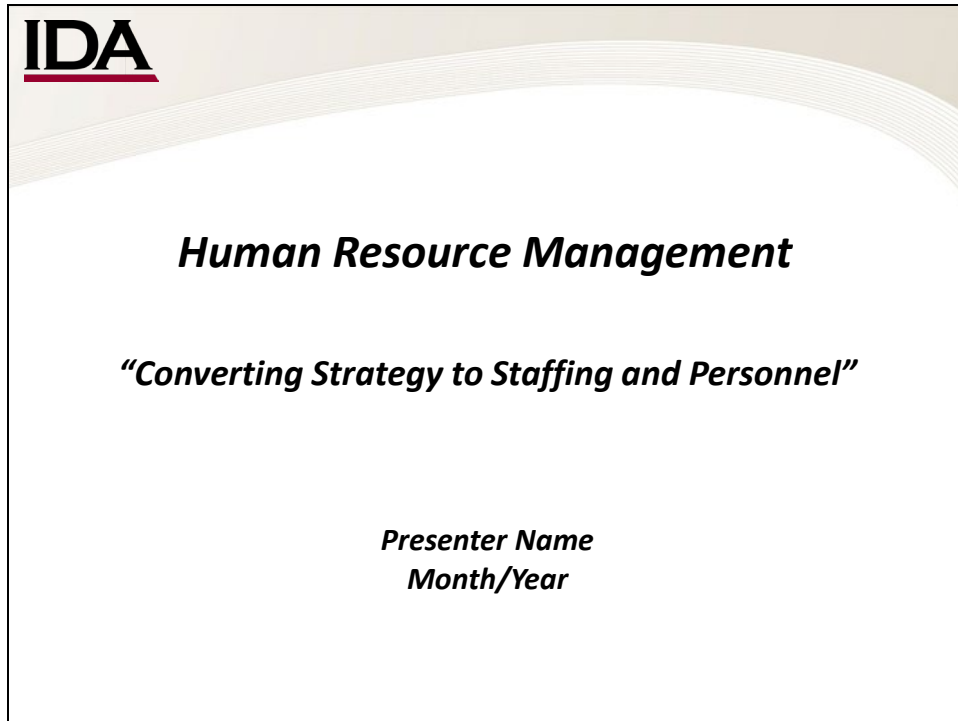
⁵³ GAO-23-106551, NATIONAL SECURITY SNAPSHOT: DOD Active-Duty Recruitment and Retention Challenges

⁵⁴ DoDD1100.4, Guidance for Manpower Management, 2.

⁵⁵ GAO-23-105284: DoD Civilian Workforce, June 2023

⁵⁶ US Government Women Peace in Security Congressional Report, July 2022.

2. Defense Governance and Management: Human Resource Management Seminar and Assessment Materials: Briefing Slides on HRM



- **Definition**

- The processes, people, and infrastructure to recruit and retain, train and educate, track and manage, and effectively employ people in an organization, in synchronization with capability plans and HRM policies.

- **Links to Other Defense Governance Functions**

- Policy/Strategy
- Defense Resource Management
- Force Sustainment

An effective HRM system is crucial as qualified and motivated people are necessary to turn budgets and weapons systems into military capabilities

HRM Links to Defense Governance Functions

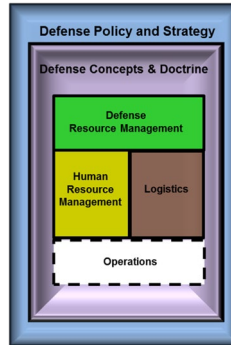
HRM is one of the five core institutional processes that enable defense institutions to organize, train, equip, and sustain military capabilities.

Policy and Strategy.

Represents the establishment of defense objectives with links to national policy and strategy.

Concepts and Doctrine.
Describes the ways in which a country's force will operate (i.e., doctrine) or will aspire to operate (i.e., concepts).

Human Resource Management.
Reflects the management of the required human resources to create and sustain a country's military force.



Resource Management.

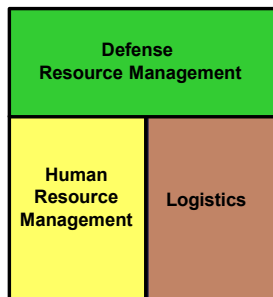
Represents the planning for affordable future defense capabilities (means) that are aligned to a country's national and defense doctrine and concepts (ways) that are driven by national and defense policy and strategy (ends).

Logistics. Covers the management of the material resources required to create and sustain a country's military force.

4

HRM is critical for Force Development and Force Employment which provides the personnel and preparation required to deploy a military force for military operations

Force Development



Defense Policy and Strategy

Concepts

Doctrine

Forces

Operations

Force Employment

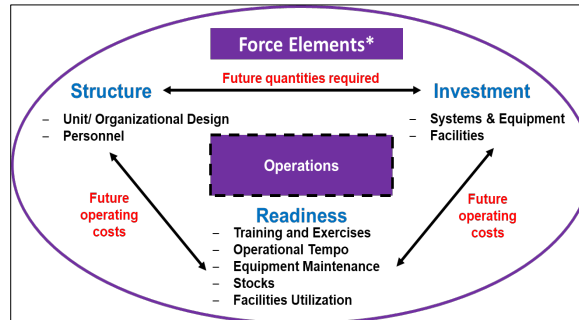
Operational Planning

Human Resource Management

Logistics

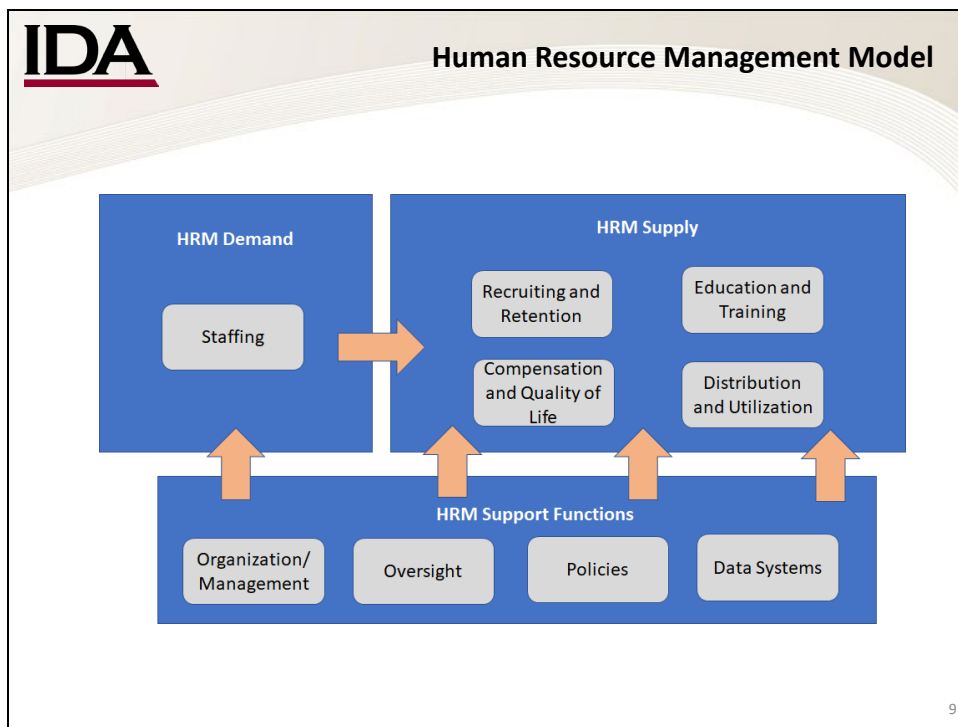
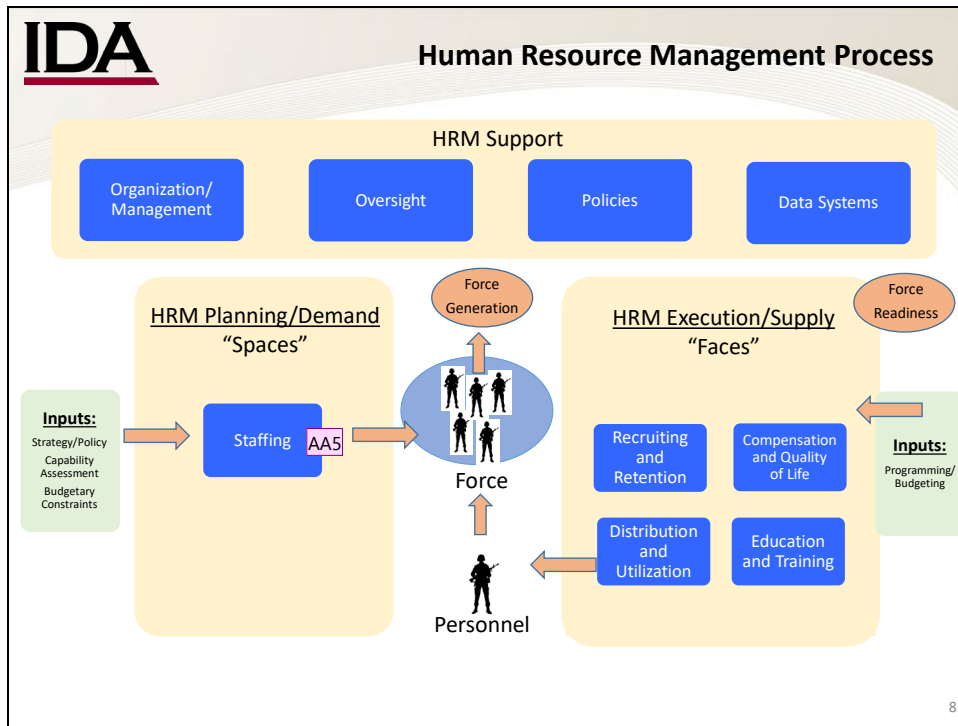
5

People form the foundation for key military capabilities



The capability of a country's forces is a function of how well its leadership applies the defense management domains to plan for, integrate, and balance the **structure** (i.e., units/ organizational design and personnel), **investment** (i.e., systems and equipment, and facilities), and **readiness** (i.e., training and exercises, operational tempo, equipment maintenance, stocks, and facilities utilization).

HRM Processes and Building Blocks

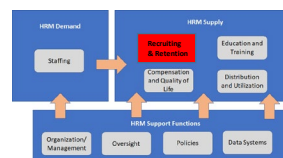


- Key component of HRM demand; ensures that national strategy is translated into staffing requirements
- Must consider budgetary constraints and availability of resources
- Staffing Requirements
 - Develops and classifies staffing requirements drawn from defense strategy
 - Personnel are organized into units by specialty and grade
- Job Classification
 - Ensures that the right mix of personnel are available to fill staffing requirements
 - Includes career fields, rank, and specific positions
 - Considers functions and levels of responsibility



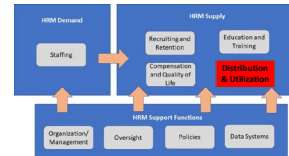
Staffing provides data driven analysis to maintain a flexible, adaptive, and responsive program to meet priority missions and capabilities

- Ensures that there are systems in place to attract and retain personnel into the correct grades and aptitudes in numbers sufficient to satisfy force requirements.
- Recruiting
 - Includes outreach to potential recruits and application procedures
 - Establishes eligibility standards and applicant screening processes
 - Facilitated by recruiting incentives
- Retention
 - Encourages the required number of personnel to continue their careers
 - Processes should be based on fair and open qualification standards



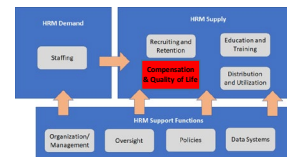
Recruitment and Retention are critical in an all volunteer force

- Ensures qualified and available personnel are assigned to units based on documented requirements and priorities, with transition to separation/retirement as appropriate. It also includes evaluations and disciplinary systems to incentivize positive performance.
- Staffing/Assignments
 - Includes processes to staff defense organizations and assign personnel to fill staffing requirements
- Promotions
 - Ensures that promotions are based on objective evaluations of personnel performance as well as staffing needs
- Separation/Transition
 - Ensures that defense personnel can separate and transition from the organization
- Retirement
 - Includes processes to retire defense personnel, including pensions and other retirement benefits
- Evaluations
 - Includes processes to evaluate personnel, including individual performance assessments
- Disciplinary Systems
 - Includes systems to discipline as well as provide non judicial and judicial punishment
 - Considers code of military justice or other regulations to govern behavior of military personnel



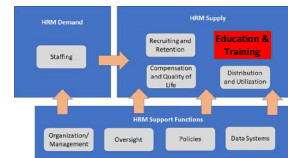
Distribution and Utilization ensure that personnel assignments align with staffing requirements and defense priorities

- Ensures there is a fair and defined system for compensation and benefits, which include merit promotion and salary increases
- Compensation
 - Includes monetary and non-monetary compensation, as well as processes to ensure that pay and benefits are linked to recruiting and retention strategies, as well as supported by the planning and budgeting processes
- Incentive/Quality of Life Programs
 - Includes incentive programs for attracting and motivating the force
 - Can include medical, housing, and education benefits
- Awards
 - Includes decorations and awards system



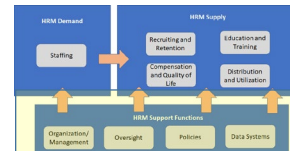
Compensation and Quality of Life processes attract and retain personnel and incentivize better performance

- Ensures occupational skills training, education, and leadership development are linked to career paths to help service members perform mission essential tasks
- Entry Training and Onboarding
 - Ensures new entrants are properly trained and qualified
- Professional Development
 - Ensures that training and education courses are imparting the necessary skills to the force
 - Identifies training and experience requirements associated with coming vacancies
- Professional Military Education
 - Ensures that PME institutions provide all levels of required training and education



The education and training system should serve the needs of the operational force and be linked to staffing requirements. It is pivotal in determining unit readiness.

- Include the people, organizations, processes, and data systems to manage the overall HRM system and develop appropriate policies and processes.
- Organization/Management
 - Responsible for overseeing HRM policies and functions
- Oversight
 - Provides oversight of HRM decisions and personnel matters, including grievances
- Policies
 - Ensures that there are processes for drafting, approving, and implementing HRM policies
- Data Systems
 - Allows for collection and analysis of HRM data



HRM support functions are key to manage HRM processes, organizations, and information

3. Defense Governance and Management: Human Resource Management Seminar and Assessment Materials: IDA Institutional Capacity Building Workbook—Human Resource Management

Overview

Human Resource Management (HRM) is defined as the processes, people, and infrastructure to recruit and retain, train and educate, track, and effectively employ people in an organization, in synchronization with plans and policies.⁵⁷ Having an effective HRM system is crucial as qualified and motivated people are necessary to turn budgets and weapons systems into military capabilities.⁵⁸ Every nation has a human resource management system in place, even if it is a simple program to manage the people in the Ministry of Defense and security forces. Thus, Defense Institution Building (DIB) is never attempting to design an optimal or universal human resource management system. DIB's focus is to work with partner nations to assist them with reshaping existing processes to meet each respective nation's requirements.

The first step in a DIB engagement is assessment, where the DIB practitioner diagnoses the situation to identify potential opportunities for improvement. However, DIB practitioners will find themselves re-assessing frequently as they discover more symptoms (which can often masquerade as the root cause of a problem).

This workbook details a framework to assist the DIB practitioner in assessing processes and systems for human resource management, which includes both understanding the current system for planning and implementing HRM, as well as diagnosing the system to identify potential opportunities for institutional capacity building. This framework details HRM functions and sub-functions, in service of generating open-ended questions to be used in an assessment.

This framework details the key elements of a military human resource management system to assist the DIB practitioner with identifying where these elements are located and in what form. The vast majority of the information gathered will happen in the form of personal interviews, and this workbook provides suggested questions to assist the DIB practitioner as they map out the people, processes, and policies that make up a nation's HRM system. It can be tailored to a specific defense institution project and to fit the practitioner's needs.

⁵⁷ DIB Challenges, DIRI, 2016

⁵⁸ Treddenick, "Manpower Management," 125.

1. Pre-Diagnostic HRM Discussion

In the box below, briefly describe what you believe to be the greatest HRM challenges in Country X and why.

For each HRM sub-function, rate the level of capability based on your observations and experience. Ratings may be one of the following: “capable,” “partially capable,” or “lacking capability.” For each sub-function without a “capable” rating, list which capability gaps you feel are most significant.

SUB-FUNCTION	RATING	CAPABILITY GAPS
STAFFING		
RECRUITING / RETENTION		
TRAINING / EDUCATION		
COMPENSATION / QUALITY OF LIFE		
DISTRIBUTION / UTILIZATION		

Rank the capability gaps listed above in order of priority.

Is there political will and interest to rectify these gaps?

Are there efforts underway to address some of these gaps? If so, which ones and what is being done?

What potential barriers are there to addressing HRM capability gaps (e.g., budgetary, inter-ministerial, organizational, cultural)?

2. National Strategic Objectives and HRM

1. National Strategic Objectives

Describe in the space below who establishes strategic objectives, when (e.g., every 4 years), and how (e.g., in consultation with Parliament, in compliance with high strategic documents).

List the organizations and strategy documents currently in existence for each level.

LEVEL	ORGANIZATION(S)	STRATEGY DOCUMENT NAME
PRESIDENTIAL		
MINISTERIAL		
JOINT STAFF		
SERVICE		

List known strategic security objectives, preferably in order of priority.

PRIORITY	OBJECTIVE
1	
2	
3	
4	
5	
6	
7	
8	
9	
10	

For each strategic objective, list next to it the missions required to achieve the objective. Next to each mission, list the security force organization, service branch, or element that will be tasked with executing that mission. If no security element would fulfill a mission, input “no security element available.”

STRATEGIC OBJECTIVE	MISSIONS TO FULFILL OBJECTIVES	SECURITY FORCES RESPONSIBLE FOR MISSION EXECUTION

2. Mission Requirements

For each combination of mission and force element, rate the force element's current capacity to execute the mission according to this scale:

1. Highly capable (high confidence in force element's ability to carry out necessary tasks and succeed in achieving objectives)
2. Somewhat capable (moderate confidence in force element's ability to carry out necessary tasks but success may be unlikely)
3. Unknown capability (force element has not demonstrated ability to carry out necessary tasks and success is uncertain)
4. Incapable (force element is not able to execute mission tasks, making success unlikely)
5. Unassigned (no force element exists with the ability to execute mission tasks)

Along with each rating, provide the reasoning behind your judgment. For example, if you rate a mission and force element combination as "somewhat capable," state specifically what you believe impedes the force element's ability to execute mission tasks (e.g., training, sufficient personnel, logistics, budget, etc.).

MISSION **FORCE** **CAPACITY** **REASONING**
ELEMENT **ASSESSMENT**

30

3. Areas of Concern

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3. HRM Structural Baseline: Legal Authorities, Roles, and Responsibilities

1. Legal Authorities Covering HRM

Laws establish the firmest boundaries on HRM activities. Although they can be changed, changes to laws often require political consensus, stakeholder buy-in, and bureaucratic adjustments. As a result, momentum tends to favor working within legal structures, rather than changing them. Understanding what laws govern HRM, then, is an important first step to building a structural baseline of HRM in any country.

List in the table below the laws that govern HRM and provide a brief summary of what the law says. For example, if a law exists that mandates conscription, describe it; or if one exists that restricts participation in the armed forces, describe the ways in which participation is regulated.

LAW	DESCRIPTION OF HOW IT RELATES TO HRM
-----	--------------------------------------

2. Budgetary Practices and HRM

Describe the ways in which the budget constrains or otherwise impacts HRM.

Describe the process by which security forces request and receive funds.

Describe the process by which allocated funds are distributed across HRM organizations and functions.

Describe any budgetary challenges that impact HRM.

3. Assignment of Roles and Responsibilities

Government bodies often choose to implement laws using policy and doctrine to formalize and distribute roles and responsibilities across stakeholder agencies or ministries. Some governments take a less formal approach and assign roles and responsibilities through other means.

Describe how HRM is structured, including which, if any, ministries oversee security force HRM, how these ministries are organized to execute HRM, and the mechanisms they use to assign HRM roles and responsibilities (e.g., formal policy documents, orders, informal assignments).

Match the core HRM functions (e.g., oversight, Staffing, recruitment/retention, education & training, compensation/quality of life, distribution/utilization, accountability/IG) with responsible ministries and the organizations within them that have responsibilities for each function.

HRM FUNCTION	MINISTRY	RESPONSIBLE ORGANIZATION(S)
OVERSIGHT		
STAFFING		
RECRUITMENT/ RETENTION		
EDUCATION/ TRAINING		

COMPENSATION/ QUALITY OF LIFE	
DISTRIBUTION/ UTILIZATION	
ACCOUNTABILITY/ INSPECTOR GENERAL	

Do any of the offices listed above face challenges executing their HRM responsibilities?
Please describe below.

4. Areas of Concern

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4. HRM Policy

1. State of HRM Policy

Do specific HRM policies exist? If so, please provide a brief overview of these policies.

2. Policy Development Pipeline

Please fill out the timeline below to illustrate the steps of moving policy from draft to implementation as they occur in sequence. Please add any extra steps that exist but are not specifically named below.

STEP	TIME TO COMPLETE	TO ORGANIZATIONS AND TASKS
1. POLICY REQUIREMENT IDENTIFIED		
2. RESPONSIBLE ORGANIZATION IDENTIFIED		
3. DRAFTING OF POLICY		
4. POLICY COORDINATION		
5. POLICY APPROVAL		
6. IMPLEMENTATION		
7. CHANGES TO POLICY		

3. HRM Policy Standards

What organization, if any, mandates standards for policy?

How are standards for policy measured or observed? By whom and how frequently? What happens to policy when/if standards are not met?

Do existing HRM policies specify a code of conduct or standards of behavior?

Do HRM policies align with legal and budgetary requirements?

Do HRM policies align with societal values?

Do HRM policies align with norms and standards across the international institutions of which the nation is a member?

What organization(s) oversee(s) HRM and its supporting policies? How is HRM oversight defined and carried out, and who benefits from oversight?

Does HRM oversight involve an Inspector General function? Please describe.

Does HRM oversight include an Ombudsman to assist with repairing grievances across civilian and military personnel?

How, if at all, is HRM management evaluated?

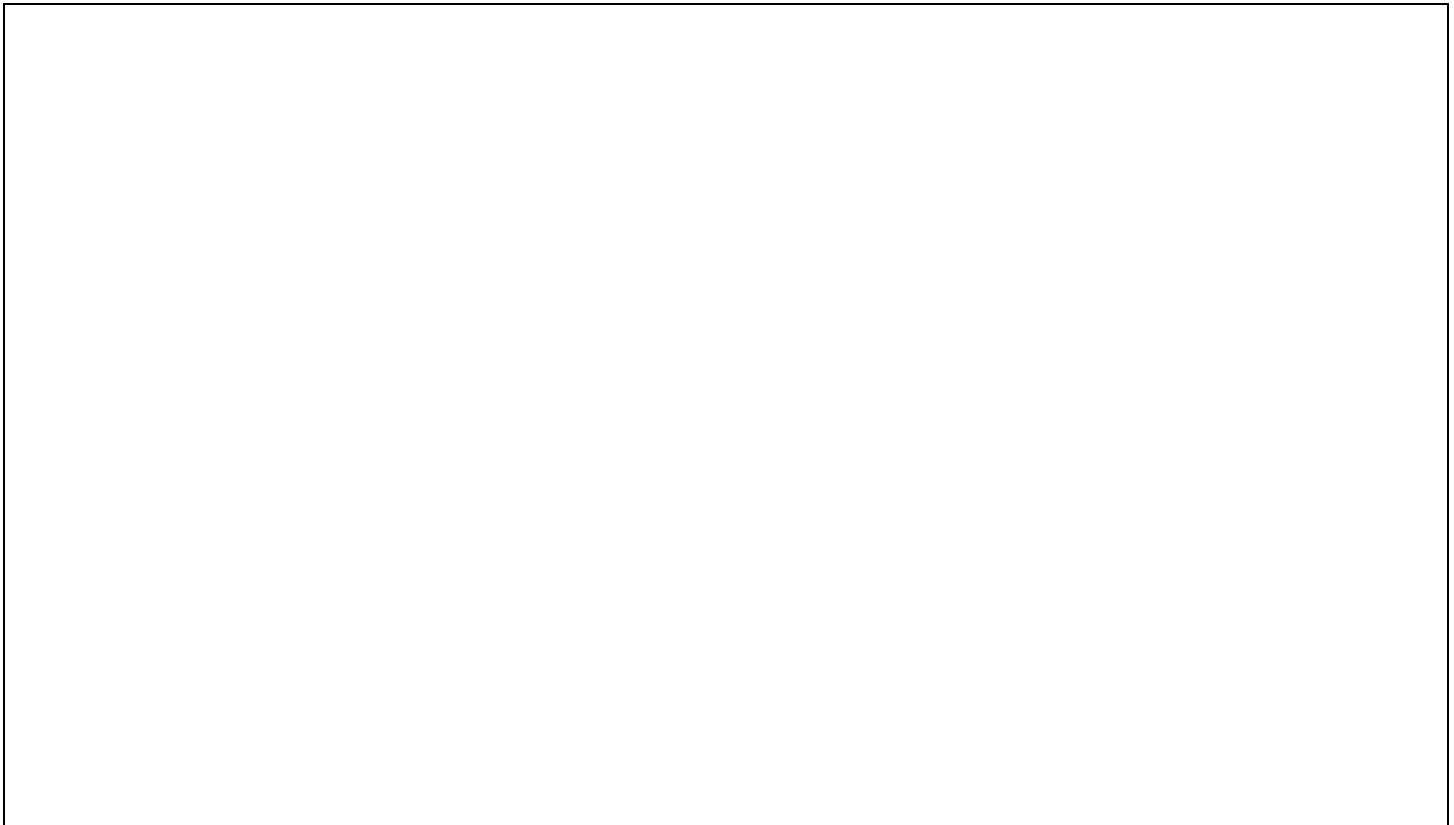
4. Areas of Concern

5. Staffing

Staffing refers to the human resources available across the defense and security sector to fulfill strategic requirements.⁵⁹ In this section, we first map who is responsible to various tasks associated with Staffing management. This map establishes which organizations are principal Staffing stakeholders. We next ask a series of questions to determine what the core activities are in this HRM sub-function.

1. Structure and Organization

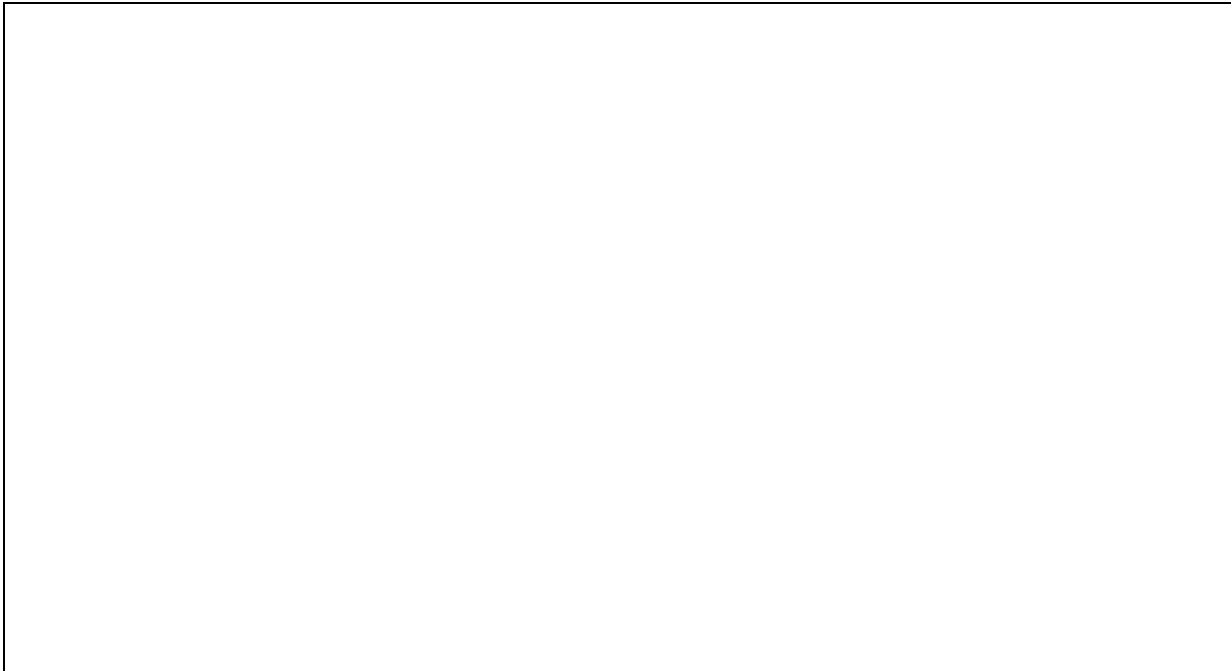
In the space provided, please draw an organigram of the security forces from the ministerial level to the Component level. This includes subordinate organizations that constitutes a joint force⁶⁰



⁵⁹ Derived from *Joint Publication 1-02: Department of Defense Dictionary of Military and Associated Terms* (Washington, DC: The Joint Staff, 2021).

⁶⁰ If drawing the organigram for the UK, for example, the highest level of the diagram would include the Ministry of Defence and the lowest level the Royal Air Forces (RAF) and other branches of the military.

List known Defense functions.⁶¹

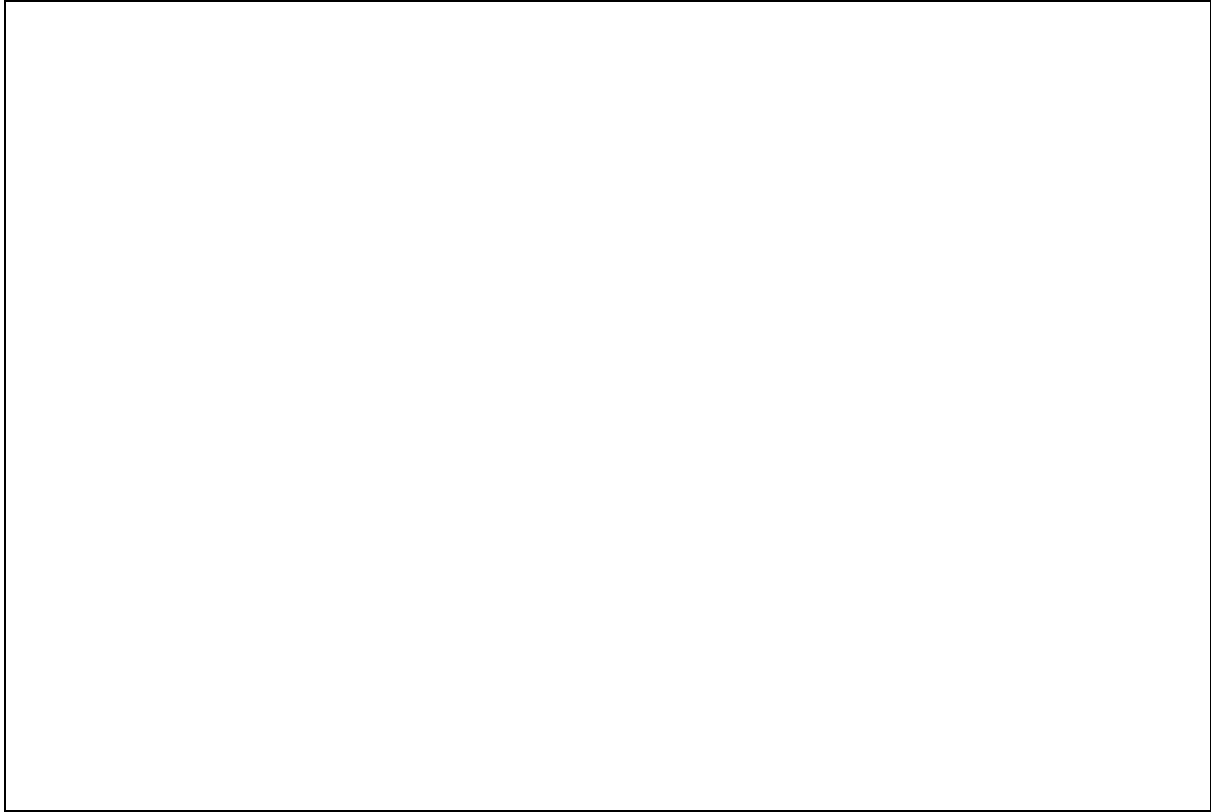


Match Defense functions listed above with the organizations that execute them. Who does what?



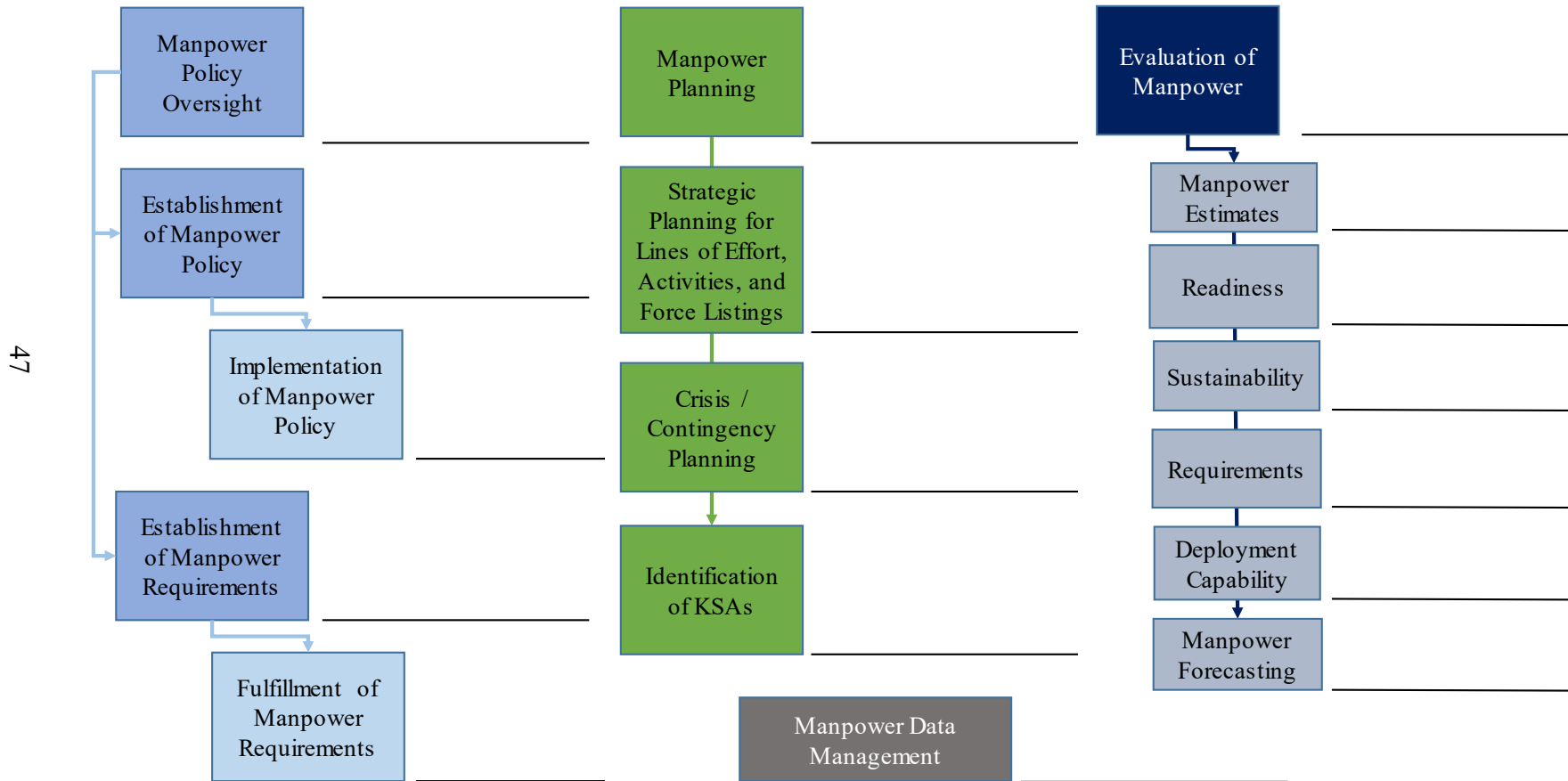
⁶¹ These are the core institutional processes that enable defense institutions to organize, train, equip, and sustain military capability, which is purposed to undertake military operations.

Are any functions excluded? Are any functions not matched with an organization that executes them?

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2. Roles and Responsibilities

In the diagram below, fill in the names of organizations that have responsibilities related to each box. When possible, provide some detail about what each is responsible for. Where no responsibilities are assigned, input “NA.”



3. Staffing Requirements

What drives Staffing requirements (e.g., strategy, futures, budget, organizations, etc.)?

What is the process by which Staffing requirements are generated? And how long does each piece of the process take?

What organizations are involved at each stage of the process?

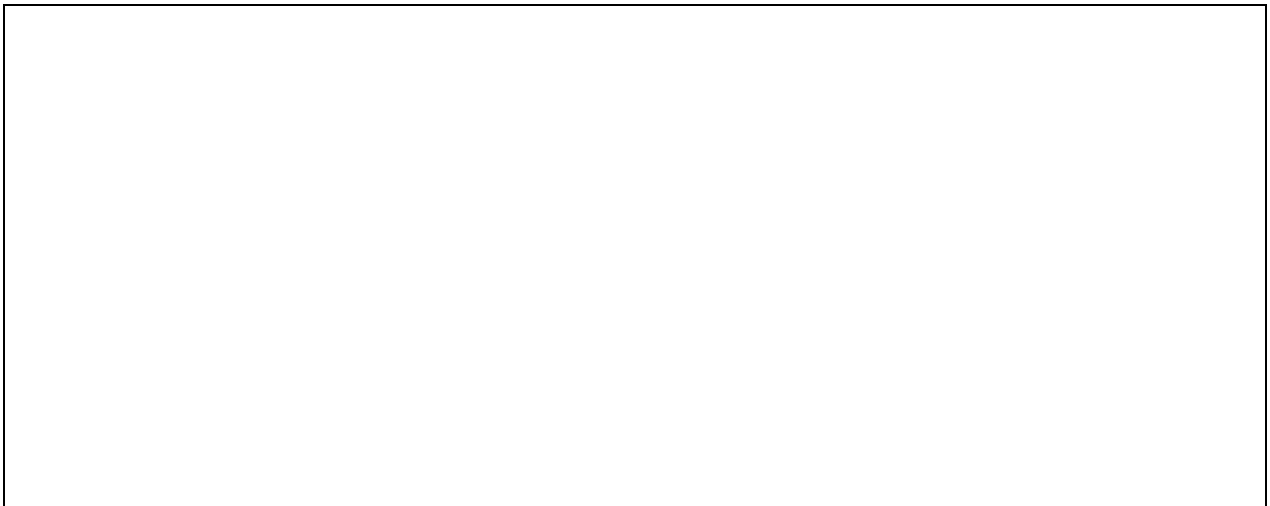
What are the Staffing process inputs and who provides them?



What are the outputs of the process and which ministries are bound by them?

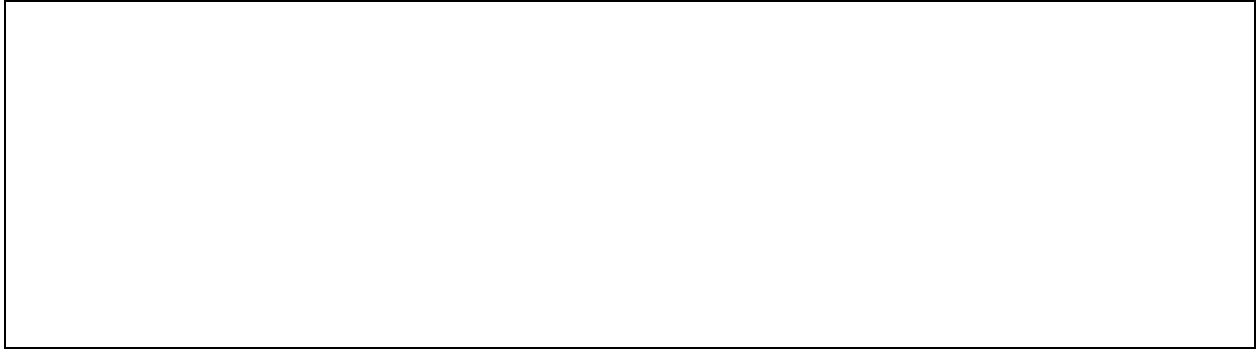


What security functions⁶² are included in Staffing requirements? And which are considered military versus civilian?

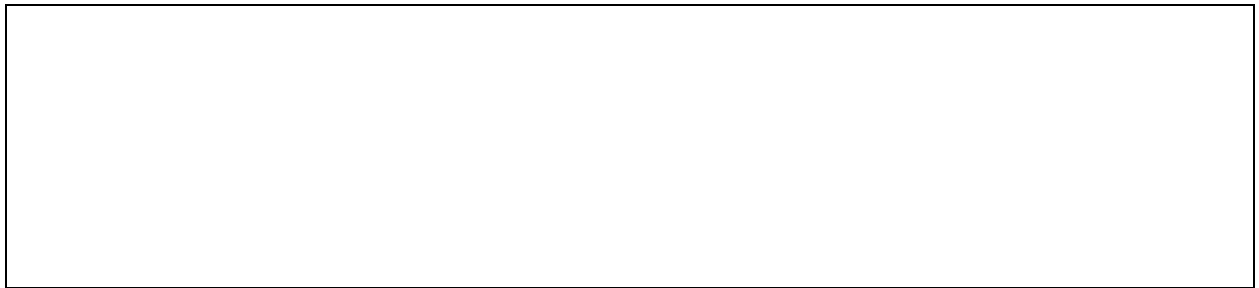


⁶² These would be the functions required for the implementation of security policy as well as security objectives.

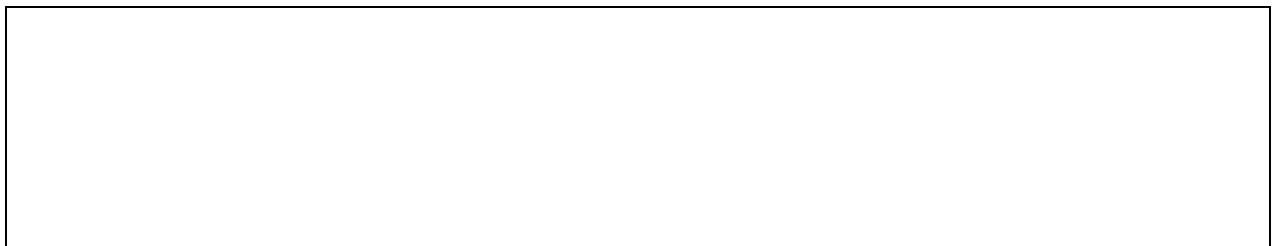
How is force structure incorporated into Staffing requirements?

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What constrains Staffing requirements (e.g., budget, political considerations, non-defense actors)?

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How does the security sector deal with budget constraints on Staffing?

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How does the security sector address non-financial constraints (e.g., force size caps, etc.)?

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Approximately what percentage of Staffing requirements go unfilled? Which ones and why?

Who, if anyone, validates Staffing requirements?

Does Staffing planning consider new technologies? If so, how and to what extent?

4. Job Classification

Is there a job classification system?⁶³ If so, what is it?

If so, does it consider function and level of responsibility?

Are there job classifications that are either bloated or under-represented? If so, which ones?

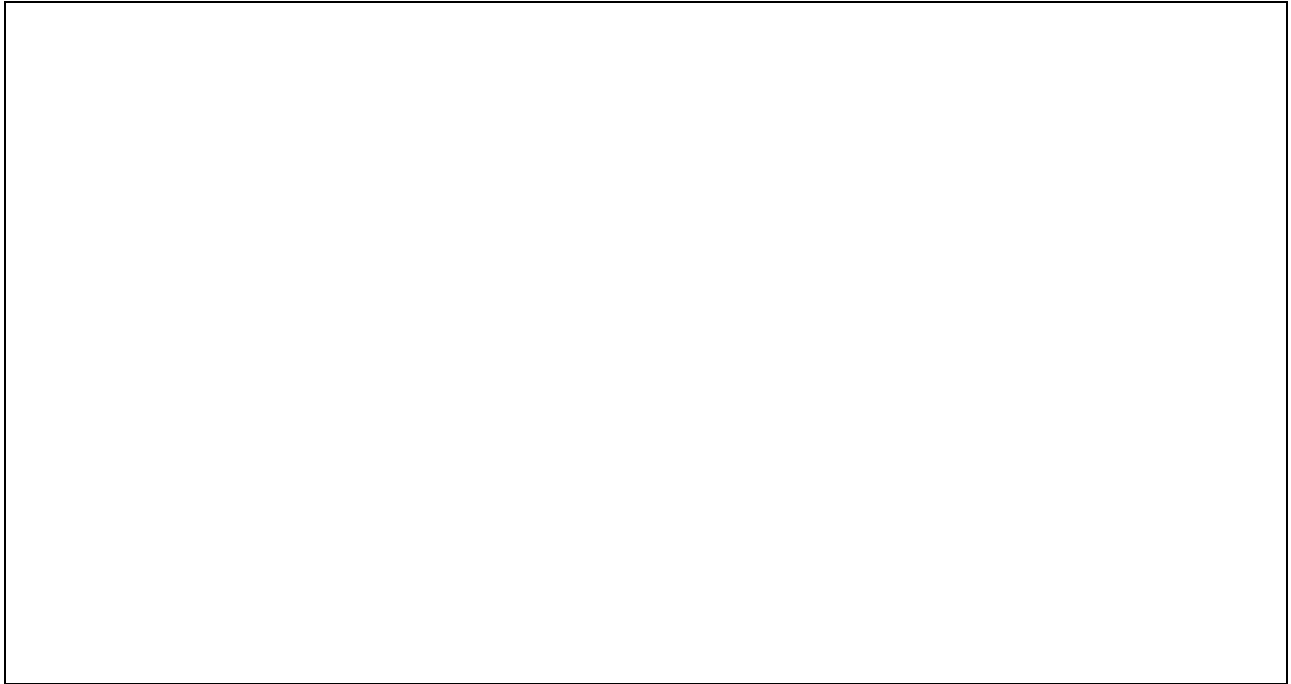
⁶³ The systematic process of evaluating the duties, responsibilities, scope, and complexity of a position description to determine the job title that most appropriately matches the job specifications and standards.

Is the right mix of personnel available to fill manning requirements? To what extent?

Do HRM planners have an accurate idea of attrition rates? To what extent do they plan for how attrition may impact Staffing requirements? Describe how this works.

Describe how classifications matched with knowledge, skills, and abilities (KSAs) to execute them?

Describe how Staffing planning balances new skills and experience required in the force structures.



5. Staffing Oversight and Evaluations

Describe existing Staffing oversight activities.

Describe Staffing evaluations? What do evaluations focus on?

How often are evaluations conducted?

Describe how evaluation findings are actionable.

Which (if any) Staffing organizations are required to implement findings?

Which (if any) organizations verify recommendations are implemented?

6. Staffing Data

Describe the overall state of Staffing data

Where does Staffing data reside? List the different Staffing data sets that exist and which organizations own/access them.

Describe where this data is stored. Is there a central repository for this data? If so, who governs it and who has access to it?

Who provides Staffing data and to whom?

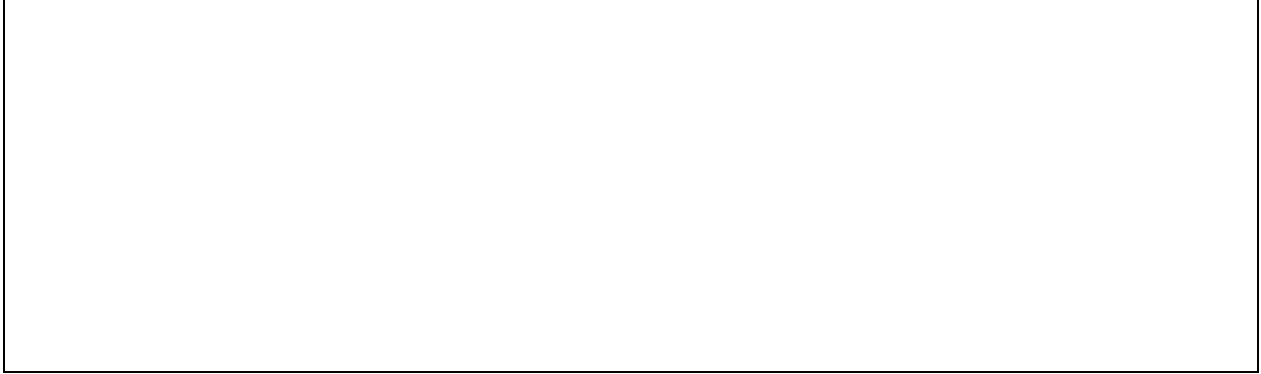
What (if any) data is used to inform Staffing requirements? Evaluations?

What are the other uses of Staffing data?

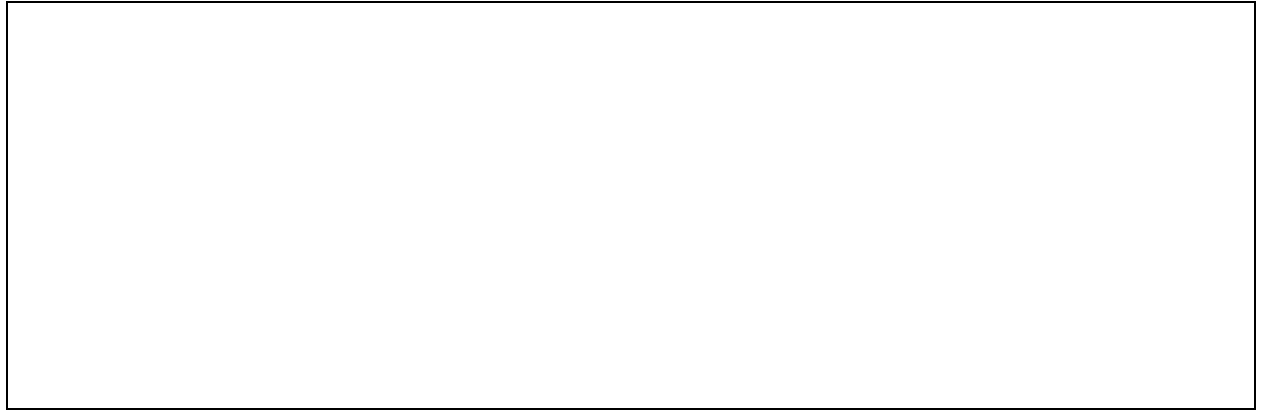
Describe other HRM data systems. How do they work?

Describe how the data systems work. Are they manual or automated?

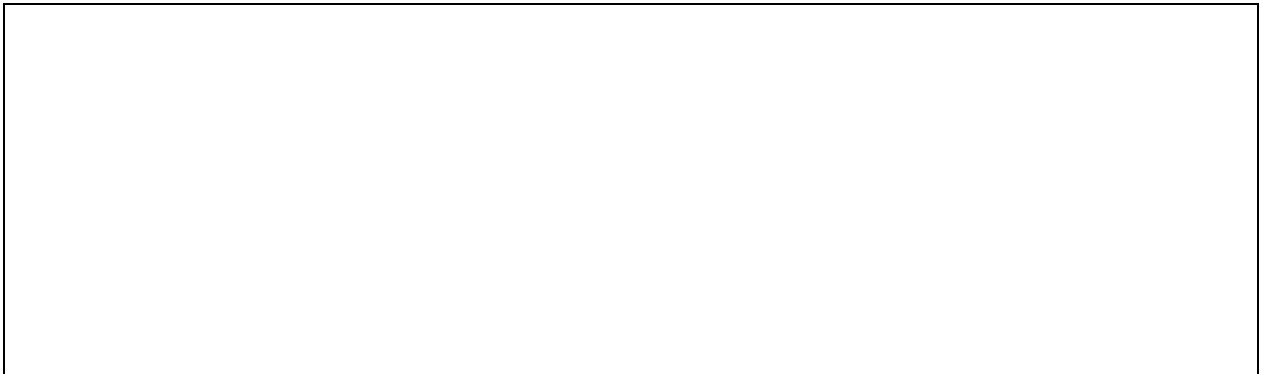
Describe how these systems collect information on the members of the workforce

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To what extent do these systems allow for analysis of information on the members of the workforce?

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Describe how these systems archive information on the members of the workforce.

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Describe how the information in the data systems is updated.

Describe how these data systems support HRM professionals and decision-makers in carrying out HRM functions.

6. Recruitment and Retention

1. Career Life Cycles

Map the career life cycle of uniformed military personnel in the defense forces from recruitment to separation. Note where differences may exist between officer and enlisted career paths.

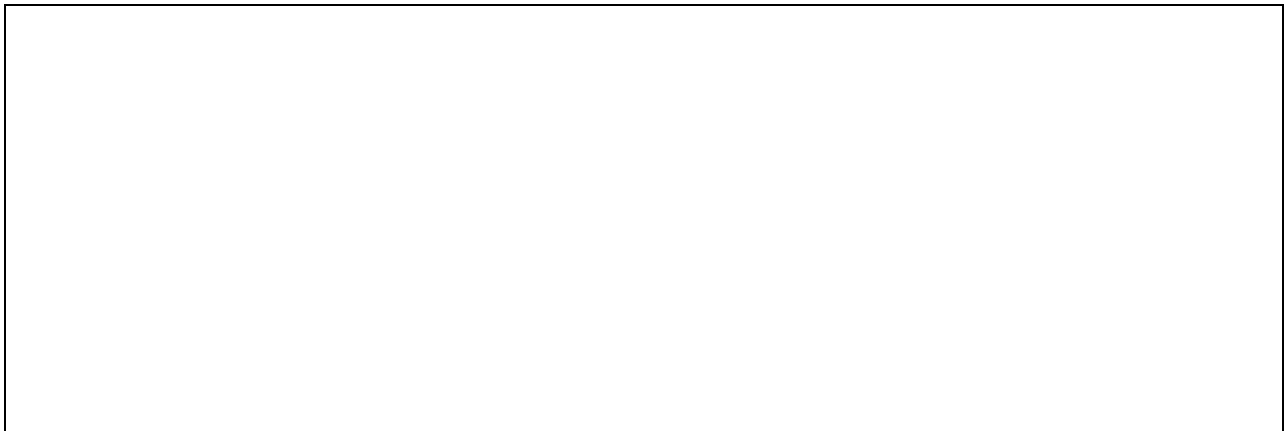
Map the career life cycle of civilian personnel in the defense and security sector from recruitment to retirement.



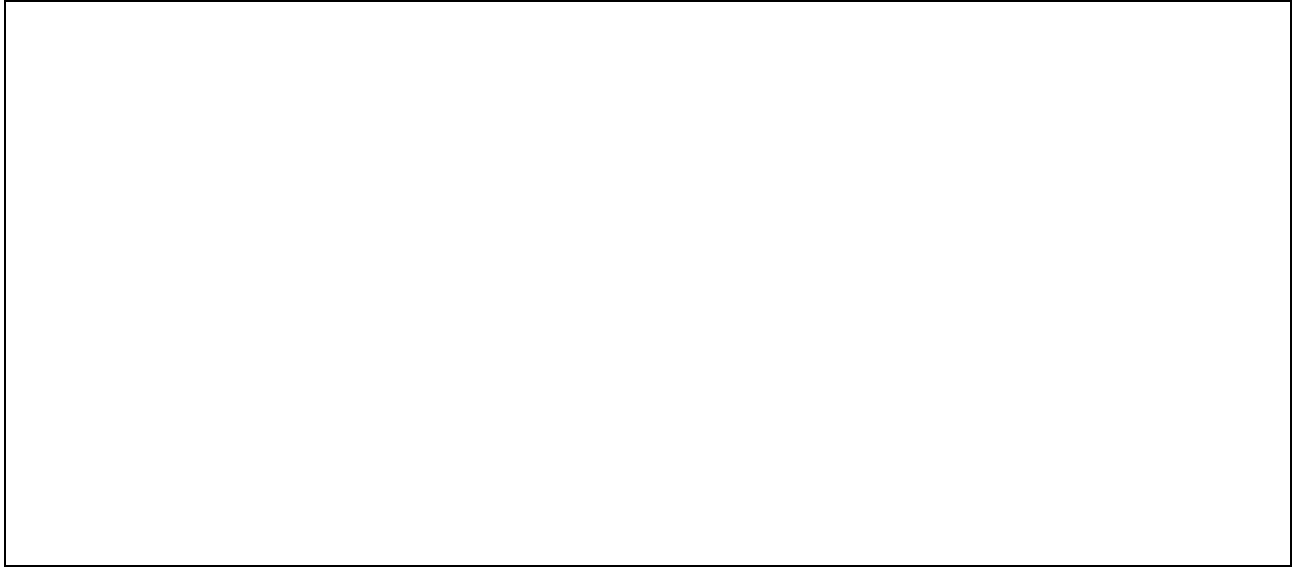
2. Defense Force Recruitment

a. Recruitment Overview

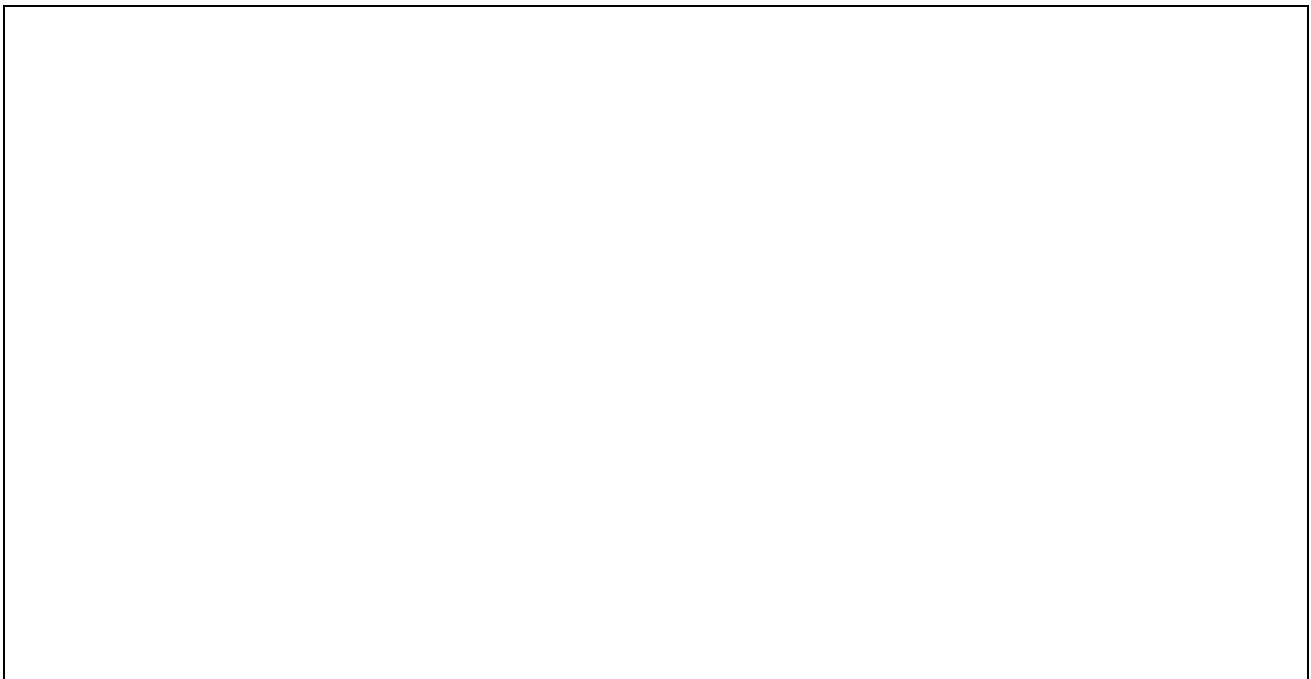
Is military service mandatory or voluntary?



If there is mandatory conscription, how long does the term of conscription last?

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Under what conditions may someone be exempt from conscription?

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Do any laws govern recruitment of the uniformed defense forces? What are they?

Who establishes recruitment policy and practices?

Who conducts recruitment?

Please outline the general recruitment process from the identification of prospective recruits to accession. Note if this process differs across recruiting organizations and whether screening occurs at any point in this process. Also note, who has ultimate decision authority to make final decisions of that step.

What types of screening do recruits undergo? Does screening differ from uniformed to civilian recruits? If so, how?

Does recruitment generally result in an appropriate number of uniformed and civilian personnel to fill job functions and Staffing requirements?

b. Officer Recruitment

From where do the Defense Forces recruit officers?

What qualifications do recruiters look for in officers? List them in the table below. If there is a service (i.e. Army, Navy, Air Force) specific qualification, please indicate.

Educational qualifications	
Physical qualifications	
Psychiatric qualifications	
Technological aptitude	
Other	

Are these qualifications uniformly applied across all recruits?

When might exceptions be made to these qualifications?

Do qualifications vary across organizations responsible for recruitment?

Are there any qualities that would disqualify a potential recruit from consideration for the officer corps? If so, what?

What incentives are officer corps recruits offered?

c. Enlisted Personnel Recruitment

From where do the Defense Forces recruit enlisted personnel from?

What qualifications do recruiters look for in enlisted personnel? List them in the table below.

Educational qualifications	
Physical qualifications	
Psychiatric qualifications	
Technological aptitude	
Other	

Are these qualifications uniformly applied across all recruits? When might exceptions be made?

Do qualifications vary across organizations responsible for recruitment?

Are there any qualities that would disqualify a potential recruit from enlistment? If so, what?

What incentives are enlisted recruits offered?

Do recruiters maintain data on prospective recruits for follow-up?

3. Defense Force Retention

Is there a retention plan for the armed forces?

Does retention reflect strategic priorities and Staffing requirements?

Has the defense / security sector been successful in retaining defense forces with appropriate knowledge, skills, and abilities (KSAs) to meet strategic objectives?

How, if ever, are retention approaches changed? What must happen to affect retention change?

Are career path and promotion paths clear and transparent? Are qualifications also clear and transparent?

How are personnel identified and targeted for retention? Who drives this process?

What are retention incentives offered to uniformed defense forces?

What data, if any, are used to drive retention?

4. Civilian Recruitment

Do any laws govern recruitment of civilians in the defense sector?

Who establishes civilian recruitment policy and practices?

Who conducts the recruitment of civilians?

What is the approximate proportion of civilians to military?

Please outline the general recruitment process for civilians, from identification of prospective recruits to accession. Note if this process differs across recruiting organizations.

From where are civilians typically recruited?

What qualifications do recruiters look for in civilians? List them in the table below.

Educational
qualifications

Physical qual-
ifications

Psychiatric
qualifications

Technological
aptitude

Other

Are these qualifications uniformly applied across all civilian recruits? When might excep-
tions be made?

--

Do qualifications (or types of qualifications) vary across organizations responsible for re-
cruitment?

--

Are there any qualities that would disqualify a potential recruit from consideration for civilian
employment? If so, what?

--

What incentives are civilian recruits offered?

5. Civilian Retention

Describe how civilians are retained in the defense and security sector. Is there a retention plan?

Does retention reflect strategic priorities and Staffing requirements?

Has the defense and security sector been successful in retaining civilians with appropriate qualifications to meet strategic objectives?

How, if ever, are retention approaches changed? What must happen to affect retention change?

Are career paths and promotion paths clear and transparent for the civilian workforce? Are qualifications also clear and transparent?

How are civilians identified and targeted for retention? Who drives this process?

What are retention incentives offered to civilians?

What data, if any, are used to drive retention?

--

6. Recruitment/Retention Areas of Concern

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7. Education and Training

1. Training for New Entrants

Describe the processes for transition of recruits and new entrants

How do these transition processes ensure that sufficient numbers of personnel are properly trained and qualified?

What organization is responsible for the training of new entrants?

2. Professional Military Education

Describe the professional development system.

Describe how this system identify education, training, and experience requirements associated with coming vacancies

Describe how the HRM system ensures expertise level of uniformed and civilian personnel appropriate to their roles

Describe the level of competence of uniformed personnel (officer and enlisted separately).

Describe the level of competence of civilian personnel.

Describe how accumulated experience, training, and education is tracked

Does this system help determine what additional training or education is needed for candidates?

Does the education and training system serve the needs of the operational force and its supporting forces? How?

Do professional military education (PME) institutions exist? If so describe their overall purpose.

Describe the purpose of each specific PME institutions

PME ORGANIZATION	PURPOSE
-----------------------------	----------------

Do these institutions function well? Do they provide all levels of required education?

How does the defense sector ensure that training and education courses are imparting the necessary skills and information to the force? Is there a system in place to validate training and education requirements?

Describe the criteria used to select personnel for education courses, in the country and abroad. Is the associated criterion published and disseminated widely?

Describe the process to integrate foreign and private training and education courses into the overall training and education plan

Describe the comprehensive annual training program of individual training

At what level is this plan approved? How does the plan approval process work?

Does this plan have sufficient resources dedicated to its execution? How are these resources approved and disseminated?

What is the process for establishing training and education requirements for commissioning and promotions?

Is this criterion widely disseminated and easily accessible to defense personnel?

Training and Education Areas of Concern

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8. Compensation and Quality of Life

1. Compensation and Benefits

Describe the compensation and benefits system? Does it use monetary compensation? If so how does this work.

Does the compensation and benefits system also use non-monetary compensation? If so, how?

Are pay and benefit policies linked to recruitment and retention strategies? If so, how?

Describe how pay and benefits policies are supported by the planning and budgeting processes

Describe the mechanisms for the payment of salaries and other income to individuals

Do these mechanisms differ for civilians and uniformed personnel?

Is pay accurate and timely?

Is the compensation and benefits system communicated to and understood by all concerned? How?

Are sector pay rates and allowances transparent and widely distributed? If so, where and how?

Are military pay and allowances based on time in service and rank? How?

Is military pay comparable to civilian pay?

2. Quality of Life

Are there incentive programs for attracting candidates and motivating the force? If so, what are they?

Do incentive programs include medical, psychiatric, and dental care? If so, describe these programs.

Do they include housing or a housing allowance that enables members of the workforce to obtain housing competitive with national standards?

Do they include education benefits? If so, describe these benefits.

Do they include recreational facilities and programs?

Describe the process to assess the overall quality of life of defense personnel. Does this process consider the general living and working conditions?

Is there a military health system that at least matches the national level of entitlements?
How does this system work?

Is there adequate psychological support to families and military members when the latter are deployed? If so, what does this support entail?

Describe the system to reintegrate personnel into the force who have been injured while training or deployed.

Describe the decorations and awards system

3. Compensation and Quality of Life Areas of Concern



9. Distribution and Utilization

1. Distribution/Assignments

Describe the process for staffing ministry level of the defense organization with an appropriate mix of military, civilian, and contracted personnel. Is there a well-established process? Or is it done in an ad hoc way?

Describe the system for assigning career specialties

Describe the system for developing career specialties

How does the HRM system specify accession requirements?

Do these accession requirements specify numbers, skills, aptitudes, and qualifications needed to fill Staffing needs?

Describe the assignment system. How are personnel assigned to positions within the defense organization?

Describe how the assignment system address vacancies in organizational structures

Describe how the assignment system refer personnel for separation, retirement or retraining for re-assignment when there are surpluses or shortages within the force

Describe processes for the identification of vacancies

Describe how this process identifies vacancies by grade and specialty

Describe how this process considers the needs projected in the succession planning and professional development processes

Describe the process for advertising and disseminating vacancies

2. Promotions

Describe the promotions system. How does this system work?

Who or what organization is responsible for military promotions?

Are promotions based on an objective evaluation of personnel performance?

Is data on promotions gender-aggregated? How?

3. Separations/Retirements

Describe the separation and transition processes. How do these processes work?

Do separation processes provide training and mentoring to separating defense personnel as they transition from military to civilian life? How does this work?

Describe the retirement system

Does the retirement system consider age, time-in-grade, and time-in-service or medical disability?

Are there mandatory retirement ages?

If so, what are they? Are they enforced?

Is there a pension plan in place? If so, describe the plan.

Is there a process to ensure retirement benefits for officers and soldiers are comparable with that of the private and public sectors?

Are separated and retired personnel aware of their benefits from existing government ministries responsible for the long-term care of veterans and disabled?

4. Evaluations

Describe the evaluation system

Is this system based on a combination of narrative and quantitative scoring?

Does it include factors such as personnel readiness—fitness, health, individual performance standards, family readiness, the deployment cycle etc.? If not, describe its factors.

Does the evaluation system include criteria for evaluation?

How frequent are these evaluations?

Is feedback provided? If so, what is the process?

5. Disciplinary System

How are issues of personal integrity and political activity addressed? Is there a well-established process? Or is it done in an ad hoc way?

How are military members disciplined? Is there a well-established system? Or is it done in an ad hoc way?

Does the existing disciplinary system provide for non-judicial and administrative action?
How?

How does the disciplinary system assist in maintaining good order and discipline throughout the force?

How does the disciplinary system serve as a negative incentive to desertion and AWOL?

Describe the code of military justice that governs the behavior of uniform personnel. Is there a well-established code or process in place? Or is it ad hoc?

How do the civilian and military codes differ?

6. Distribution and Utilization Areas of Concern



Note-Taking Space

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Glossary

- Assignment:** The placement of units or personnel in an organization where such placement is relatively permanent, and/or where such organization controls and administers the units or personnel for the primary function, or greater portion of the functions, of the unit or personnel. 2) To detail individuals to specific duties or functions where such duties or functions are primary and/or relatively permanent.⁶⁴
- Benefits:** A form of compensation paid by employers to employees over and above regular salary or wages. Employee benefits come in many forms and are an important part of the overall compensation
- Compensation:** The total cash and non-cash returns (financial rewards, services, and benefits) that are provided by the organization to an employee in exchange for their labor.⁶⁵
- Data System:** A system used to acquire, store, manipulate, analyze, retrieve and distribute pertinent data and information about an organization's human resources. Can also can be referred to as a Human Resource Information System.⁶⁶
- Disciplinary System:** A system used by management to modify undesirable performance and behavior through the use of corrective actions⁶⁷.
- Distribution:** Allocating and assigning personnel to units based on documented requirements and priorities.⁶⁸
- Evaluation:** The assessment and review of a worker's job performance.⁶⁹
- Human Resource Management:** Processes, people, and infrastructure to recruit and retain, train and educate, track, and effectively employ people in an organization, in synchronization with plans and policies.⁷⁰

⁶⁴ DoD Dictionary of Military and Associated Terms, www.jcs.mil/Portals/36/Documents/Doctrine/pubs/dictionary.pdf

⁶⁵ Human Resource Glossary: Common HR Terms and Definitions, <https://resourcingedge.com/hr-services/human-resource-glossary-common-hr-terms-definitions/>

⁶⁶ Data Management and Human Resource Information Systems, https://us.sagepub.com/sites/default/files/bauer_hrm_chapter_3_data_management_and_hr_information_systems_0.pdf

⁶⁷ Human Resources: Disciplinary Process, <https://hr.umbc.edu/employee-relations/disciplinary-process/>

⁶⁸ Building Human Resource Management Capabilities in Defense Institutions: Generic Master Plan

⁶⁹ Employee Evaluation, www.thebalancecareers.com/employee-evaluation-1918117

⁷⁰ DIB Challenges, DIRI, 2016

Incentives: A system of rewarding success and effort in the workplace by allowing employees to earn rewards or recognition.⁷¹

Inspector General: An independent and objective unit to conduct and supervise audits, investigations, evaluations, and inspections relating to programs and operations.⁷²

Job Classification: The systematic process of evaluating the duties, responsibilities, scope, and complexity of a position description to determine the job title that most appropriately matches the job specifications and standards.⁷³

Management: The administration and coordination of the activities of an organization in order to achieve defined objectives.⁷⁴

National Law: A binding rule or body of rules prescribed by the government of a sovereign state that holds force throughout the regions and territories within the government's dominion.⁷⁵

Onboarding: The act or process of orienting and training a new employee.⁷⁶

Organization: The establishment of effective authority relationships among selected work, persons, and work places in order for a group to work together efficiently and meet common objectives.⁷⁷

Oversight: The review, monitoring, and supervision of federal agencies, programs, activities, and policy implementation.⁷⁸

Policy: A general objective or rule governing a key function or multifunction program.⁷⁹

Professional Military Education: Career training designed to provide or enhance leadership and the recipient force's capabilities to conduct military planning, programming, management, budgeting, and force development to the level of sophistication appropriate to that force.⁸⁰

⁷¹ What are Employee Incentives: Types and Examples, <https://study.com/academy/lesson/what-are-employee-incentives-types-examples-quiz.html#:~:text=Definition%20of%20Employee%20Incentives,to%20earn%20prizes%20or%20recognition>.

⁷² Department of Defense Directive 5106.01, Inspector General of the Department of Defense (IG DoD), www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodd/510601p.pdf?ver=2020-05-29-143946-603

⁷³ Job Classification, <https://hr.berkeley.edu/compensation-benefits/compensation/job-classification#:~:text=Job%20Classification-,Job%20Classification,the%20job%20specifications%20and%20standards>.

⁷⁴ Business Dictionary, www.businessdictionary.com/definition/management.html

⁷⁵ InforMEA, www.informea.org/en/terms/national-law

⁷⁶ Merriam-Webster Dictionary, www.merriam-webster.com/dictionary/onboarding

⁷⁷ Organization: Meaning, Definition, Concepts and Characteristics, www.yourarticlelibrary.com/organization/organization-meaning-definition-concepts-and-characteristics/53217

⁷⁸ Lumen, <https://courses.lumenlearning.com/boundless-politicalscience/chapter/the-oversight-function-of-congress/>

⁷⁹ Army Regulation 600-8, Military Human Resource Management, https://ssilrc.army.mil/wp-content/uploads/2019/05/AR600_8_Military-Human-Resources-Management.pdf

⁸⁰ DSCA Security Assistance Management Manual, <https://samm.dsca.mil/glossary/professional-military-education-pme>

Promotion: The act or fact of being raised in position or rank.⁸¹

Quality of Life: The self-evaluation of the quality of service member's mental and physical health, social relations, and the environment in which they live and work.⁸²

Recruiting: The process of finding and hiring the best-qualified candidate for a position.⁸³

Retention: The process in which the employees are encouraged to remain with an organization for the maximum period of time or until completion of a project.⁸⁴

Societal Values: Moral beliefs and principles that are accepted by the majority so as to ensure the continuity of a society.⁸⁵

Separation: When the employment contract or at-will agreement between an employee and his or her company comes to an end. Some terminations will be forced by an employer, including getting fired or laid off. Other separations, like retirement or resignation, will be voluntary.⁸⁶

Staffing: Total supply of personnel available or engaged for a specific job or task.⁸⁷

Staffing Requirements: Human resources needed to accomplish specified work loads of organizations.⁸⁸

Training: Instruction and applied exercises for acquiring and retaining knowledge, skills, abilities, and attitudes necessary to complete specific tasks.⁸⁹

Transition: An employee's movement from current position to a new one with the right to have the same or alike pay range, the same level of tasks, and comparable job responsibilities and duties.⁹⁰

⁸¹ Merriam-Webster Dictionary, www.merriam-webster.com/dictionary/promotion

⁸² Quality of Life and Anxiety in Military Personnel, www.researchgate.net/publication/329014492_Quality_of_Life_and_Anxiety_in_Military_Personnel#:~:text=%EE%80%82%20e%20quality%20of%20life,they%20live%20and%20work.

⁸³ Glossary of HR and Employee Benefit Terms, <https://advos.io/resources/glossary-of-hr-and-benefits-terms/>

⁸⁴ Employee retention likely to be top focus for recruiters: Survey, www.whatishumanresource.com/employee-retention

⁸⁵ Social values and value education, www.researchgate.net/publication/273851080_Social_Values_and_Value_Education

⁸⁶ Types of Separation from Employment, www.thebalancecareers.com/types-of-separation-from-employment-2061665#:~:text=Employment%20separation%20occurs%20when%20the,or%20resignation%2C%20will%20be%20voluntary.

⁸⁷ Business Dictionary: Manpower, www.businessdictionary.com/definition/manpower.html

⁸⁸ Military Factory, www.militaryfactory.com/dictionary/military-terms-defined.asp?term_id=3211

⁸⁹ U.S. Department of Defense, Joint Chiefs of Staff, "Joint Training Policy for the Armed Forces of the United States," Chairman of the Joint Chiefs of Staff Instruction No. 3500.01H, April 25, 2014, p. A-5, www.jcs.mil/Portals/36/Documents/Doctrine/training/cjcsi3500_01h.pdf?ver=2017-12-29-171241-630

⁹⁰ Task Management Guide, What is Employee Transition, www.taskmanagementguide.com/glossary/what-is-employee-transition.php#:~:text=Employee%20Transition%20is%20an%20employee's,comparable%20job%20responsibilities%20and%20duties.

Utilization: The effective and efficient use of human resources in an organization in order to meet common objectives and complete specific tasks.⁹¹

⁹¹ An Assessment of Human Resource Utilization on Organizational Growth and Development of Adamawa State Polytechnic Yola, www.hilarispublisher.com/open-access/an-assessment-of-human-resource-utilization-on-organizational-growth-and-development-of-adamawa-state-polytechnic-yola-2151-6200-1000419.pdf

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