

HANDBOOK TO NAO 200-7  
PROCEDURES FOR INITIATING AND PROCESSING ORGANIZATIONAL CHANGES

SECTION 1. PURPOSE.

.01 This Handbook establishes guidance and procedures for initiating and processing changes to the National Oceanic and Atmospheric Administration (NOAA) organizational structure.

.02 This Handbook supplements NOAA Administrative Order (NAO) 200-7 and is subject to revision consistent with law, rule or regulation.

SECTION 2. SCOPE.

This Handbook applies to all proposed organization changes within NOAA.

SECTION 3. DEFINITIONS.

a. Basic NOAA Organization. Those organizations which report directly to the Under Secretary of Commerce for Oceans and Atmosphere and Administrator (the “Under Secretary”) or the Deputy Under Secretary (DUS), and those mission-related organizations which report directly to an Assistant Administrator (AA), and any other organizations as the Under Secretary may designate, make up the basic NOAA organization. The basic NOAA organization is prescribed in Department Organizational Order (DOO) 25-5.

b. Line Office. An organization headed by an AA, performing one or more of the mission/program functions assigned to NOAA.

c. Line Office Support Organizations. Those organizations within the Line Offices (LO) performing non-programmatic functions common to all organizations (e.g., budget, management analysis, information technology, etc.).

d. Matrix Organization. An organizational structure in which a project manager shares responsibility with functional managers for assigning priorities and for directing the work of individuals assigned to the project. While a matrix organization is a viable form of structuring used in NOAA for the accomplishment of some projects, this Handbook addresses only those organizational changes associated with the functional organizational structure as prescribed by DOO 25-5 and internal organizations.

e. National Finance Center (NFC) Organization Code. An 18 digit numerical code (e.g., 54-00-00-0000-00-00-00-00) used to identify an organizational unit for NOAA budget, payroll, and personnel functions.

f. NOAA Organization Code. A six digit alpha numeric code (e.g., AJL120) used to identify an organizational unit for NOAA budget, finance, and reporting functions.

g. NOAA Organization Handbook. A compendium of functional statements for organizations beyond those prescribed as the basic NOAA organization in DOO 25-5. The NOAA Organization Handbook is a component of the NOAA Directives System.

h. Organization Change. Any change to the organizational structure, including: establishing new organizations, abolishing unnecessary organizations, changing the nature of the work performed by the organization and/or its positions, retitling an organizational unit, and updating functional statements.

i. Organization Design. The application of sound management principles to the establishment, abolishment, operation, or alteration of organizational units.

j. Organization Unit. A discrete component identified by its own name and NFC/NOAA organization code.

k. Position Management. The structuring of positions, functions, and organizations in a manner that will optimize efficiency, productivity, and organizational effectiveness while conserving resources.

l. Reorganization. The establishment, reassignment, or abolishment of organizational units resulting from the acquisition, restructuring, discontinuance, or abolishment of functions, or from the movement of functions between organizational elements which result in a substantial change in the nature of the work performed by an organization and/or its assigned positions.

m. Reprogramming. Any change to the appropriation that requires Congressional approval.

n. Staff Office. An organization performing NOAA-wide support functions and reporting directly to the Under Secretary or the DUS.

#### SECTION 4. AUTHORITY TO APPROVE ORGANIZATION CHANGES

.01 Authority to approve organization changes.

a. Basic NOAA organization structure changes are approved by the Under Secretary and the Department of Commerce Chief Financial Officer and Assistant Secretary for Administration (CFO/ASA).

b. Internal structure of NOAA Staff Office changes are approved by the Under Secretary or DUS based on reporting relationships.

c. Line Office Support Organization changes are approved by the DUS.

d. Line Office internal structure changes not specified above are approved by the AAs.

.02 Authorities listed in Section 4.01 of this Handbook may not be redelegated.

.03 Organization changes are not to be finalized until necessary clearances or approvals are complete. Approved organization changes will be announced via NOAA Circular issued by the Director, Workforce Management Office (WFMO). Organization changes are not to be implemented prior to the date indicated in the Circular.

#### SECTION 5. CHANGES TO THE BASIC NOAA ORGANIZATION AND/OR CHANGES REQUIRING REPROGRAMMING.

.01 DOO 25-5 is the official medium for documenting the basic NOAA organization. A revision to this DOO is required for all organizational changes affecting an organization unit at or equivalent to the office level within the LO. Only those organizations responsible for mission-related functions are included in DOO 25-5.

.02 The first step in the process is for the AA or DUS to inform the Under Secretary of the proposed change and request agreement in principle to proceed with the formal planning. This agreement must be in writing.

.03 If organizational changes will affect the way financial and/or administrative services are managed or organized, the organization proposing the change will contact the appropriate Staff Office (SO) Director for review and clearance of proposed changes.

.04 The organization proposing the change will contact the servicing WFMO to discuss the proposed reorganization and obtain advice on organization design. The servicing WFMO will provide advice on any other required actions such as new or revised position descriptions, the requirement for properly classified positions, crosswalk, etc.; and will coordinate with appropriate WFMO offices to obtain new NFC/NOAA organization codes. The servicing WFMO will also ensure appropriate labor/management relations obligations are fulfilled.

.05 The final reorganization package, prepared and sent by the office proposing the reorganization to the servicing WFMO, must include hard copies and electronic copies of the following documents for transmittal to the CFO/ASA:

a. Transmittal. A memorandum from the Under Secretary to the CFO/ASA providing an executive summary of the proposed changes;

b. Justification. A justification and rationale for the reorganization. Documentation must describe the operational benefits and resource effects in sufficient scope and detail to justify the proposed change. The justification must include following:

1. the events and conditions establishing the need for the organizational change;
  2. a comprehensive description of the proposed change, including a "From/To" diagram illustrating and comparing the current organizational structure and the proposed organizational structure;
  3. a statement that the Under Secretary has approved the reorganization in principle;
  4. a description of the associated facilities and information technology requirements (e.g., office space, furniture, computer, telephone, etc.);
  5. a description of the budgetary impact for the current and next fiscal year including the need for reprogramming or, if reprogramming is not necessary, the proposal must so state and provide substantiating information (NOTE: all pertinent documentation for reprogramming must accompany the submission, including letters to appropriate Members of Congress);
  6. the impact on personnel, including the increase or decrease in numbers of positions, the supervisory ratio in the current and proposed organizations, and the reduction of supervisory layers;
  7. a statement addressing impact on other organizations, if any; and
  8. a statement that appropriate labor/management relations obligations have been fulfilled (NOTE: the reorganization may not be implemented until the labor relations obligations are completed).
- c. DOO Wording. The proposed wording for the DOO, in electronic form, submitted to the servicing WFMO. In cases where a reprogramming change occurs without a change to the basic NOAA organizational structure proposed DOO wording is not required;
- d. Organization Charts. Organization charts for the current and proposed organizations;
- e. Crosswalk. A personnel crosswalk from the current to the proposed organization including employee names, organization (by NFC/NOAA organization code), title/series/grade, position number, and billet number. All funded vacancies must be included. The crosswalk must be submitted as an Excel spreadsheet in electronic and hard copy;
- f. Functional Statements. Functional statements for the current and proposed organization must be submitted to the servicing WFMO in electronic form for inclusion in the NOAA Organization Handbook; and
- g. Position Descriptions. Copies of classified position descriptions for all new or revised positions. All new or revised position descriptions must be written and classified prior to submission of the reorganization package.

.06 The WFMO will coordinate the clearance of reorganizations which require approval by the Under Secretary, DUS, CFO/ASA or higher authority, assign organization and related codes, and implement the reorganization as prescribed in Section 8. of this Handbook.

.07 Approved organization changes will be announced in a NOAA Circular issued by the WFMO Director. Organization changes are not to be implemented prior to the date indicated in the Circular.

#### SECTION 6. OTHER ORGANIZATION CHANGES REQUIRING UNDER SECRETARY OR DEPUTY UNDER SECRETARY APPROVAL.

.01 The NOAA Circular is the medium for effecting NOAA organizational changes. Organizational changes, other than those covered in Section 5. or Section 7. of this Handbook, must be in the form of a proposal for consideration and approval by the Under Secretary or the DUS.

.02 Prior to submitting any formal reorganization package to the servicing WFMO, the LO/AA or SO Director must inform the Under Secretary or DUS, based on reporting relationships, of the proposed change and request agreement in principle to proceed with the formal planning. This agreement must be in writing.

.03 The organization proposing the change will seek a determination from the NOAA Budget Office as to whether the proposed change will constitute a reprogramming and/or will require Congressional notification, according to appropriations legislation Sections 605(a) and (b). Submitted information will include the following: a brief description of the proposed change including level of organization(s) involved, movement or changes to programs, numbers of positions to be moved from one organizational unit to another, expected impact on budget and FTE, and any union requirements. If the NOAA Budget Office determines that a reprogramming and/or Congressional notification is required, the reorganization procedures set forth in Section 5. of this Handbook shall be followed. The NOAA Budget Office determination must be documented in the reorganization package, i.e. e-mail document.

.04 If organizational changes will affect the way financial and/or administrative services are managed or organized, the organization proposing the change will contact the appropriate SO Director for review and clearance of proposed changes.

.05 The organization proposing the change will contact the servicing WFMO to discuss the proposed reorganization and obtain advice on organization design. The servicing WFMO will provide advice on any other required actions or documentation, and will coordinate with appropriate WFMO offices to obtain new NFC/NOAA organization codes. The servicing WFMO will also ensure appropriate labor/management relations obligations are fulfilled.

.06 The final reorganization package must include hard copies and electronic copies of the following:

- a. Transmittal. A memorandum from the requesting official to the Under Secretary or DUS, based on reporting relationships, that includes a brief summary of the proposed changes;
- b. Justification. A justification and rationale for the reorganization. Documentation must describe the operational benefits and resource effects in sufficient scope and detail to justify the proposed change. The document must include:
  1. the events and conditions which establish the need for the organizational change;
  2. a comprehensive description of the proposed change, including a "From/To" diagram illustrating and comparing the current organizational structure and the proposed organizational structure;
  3. a description of the associated facilities and information technology requirements (e.g., office space, furniture, computer, telephone, etc.);
  4. the budgetary impact for the current and next fiscal year (NOTE: if reprogramming is necessary, the procedure for initiating changes as outlined in Section 5. of this Handbook must be followed; if reprogramming is not necessary, the proposal must so state and provide substantiating information);
  5. the impact on personnel, including the increase or decrease in numbers of positions, the supervisory ratio in the current and proposed organizations, and the reduction of supervisory layers;
  6. a statement addressing impact, if any, on other organizations; and
  7. a statement that appropriate labor/management relations obligations have been fulfilled; the reorganization may not be implemented until the necessary requirements are completed.
- c. Organization Charts. Organization charts for the current and proposed organizations;
- d. Crosswalk. A personnel crosswalk from the current to the proposed organization including employee names, organization (by NFC/NOAA organization code), title/series/grade, position number, and billet number. All funded vacancies must be included. The crosswalk must be submitted as an Excel spreadsheet in electronic and hard copy;
- e. Functional Statements. The functional statements for the current and proposed organization for inclusion in the NOAA Organization Handbook;

f. Position Descriptions. Copies of classified position descriptions for all new or revised positions. All new or revised position descriptions must be written and classified prior to submission of the crosswalk (see Sections 5.04 and 5.05 g. of this Handbook).

.07 The WFMO will coordinate the clearance of reorganizations which require approval by the Under Secretary or DUS, assign organization and related codes and will implement the reorganization as prescribed in Section 8. of this Handbook. Approved organization changes will be announced in a NOAA Circular issued by the WFMO Director. Organization changes are not to be implemented prior to the date indicated in the Circular.

#### SECTION 7. LINE OFFICE INTERNAL STRUCTURE CHANGES REQUIRING APPROVAL BY AN ASSISTANT ADMINISTRATOR.

.01 The NOAA Circular is the medium for effecting NOAA organizational changes. A proposal approved by the AA is required for organizational changes not covered by Section 5. or Section 6. of this Handbook.

.02 The organization proposing the change will seek a determination from the NOAA Budget Office as to whether the proposed change will constitute a reprogramming and/or will require Congressional notification, according to appropriations legislation Sections 605(a) and (b). Submitted information will include the following: a brief description of the proposed change including level of organization(s) involved, movement or changes to programs, numbers of positions to be moved from one organizational unit to another, expected impact on budget and FTE, and any union requirements. If the NOAA Budget Office determines that a reprogramming and/or Congressional notification is required, the reorganization procedures set forth in Section 5. of this Handbook shall be followed. The NOAA Budget Office determination must be documented in the reorganization package, i.e. e-mail document.

.03 The organization proposing the change will contact the servicing WFMO to discuss the proposed reorganization and obtain advice on organization design. The servicing WFMO will provide advice on any other required actions such as new or revised position descriptions, the requirement for properly classified positions, crosswalk, and any other required documentation; and will coordinate with appropriate WFMO offices to obtain new NFC/NOAA organization codes. The servicing WFMO will also ensure appropriate labor/management relations obligations are fulfilled.

.04 The organization proposing the change will provide the approved reorganization package that includes the documents listed in Section 6.06 of this Handbook to the servicing WFMO for implementation.

.05 The WFMO will assign organization and related codes and will implement the reorganization as prescribed in Section 8. of this Handbook. Approved organizational changes will be announced in a NOAA Circular issued by the WFMO Director. Organizational changes are not to be implemented prior to the date indicated in the Circular.

## SECTION 8. IMPLEMENTING ORGANIZATION CHANGES.

.01 Workforce Management Office. The WFMO will prepare the NOAA Circular to implement the organization change and coordinate the effective date with the affected LO/SO. The NOAA Circular is used to establish, abolish, and/or change NFC/NOAA organization codes. The WFMO Director will sign all NOAA Circulars communicating approved organization changes. The WFMO is responsible for the following:

- a. distributing the approved NOAA Circular electronically;
- b. updating the NOAA Organization Handbook;
- c. establishing, modifying, or abolishing NFC/NOAA organization codes in the appropriate systems;
- d. informing the servicing WFMO and the NOAA Budget Office when all system changes have been completed;
- e. maintaining a copy of the approved organization package;
- f. establishing, deleting and modifying positions in the NFC system; and
- g. effecting the personnel actions to implement the change, coordinating the effective date with the appropriate office.

.02 Administrative Management and Executive Secretariat. The approved NOAA Circular will be posted on the NOAA Circular website by Administrative Management and Executive Secretariat.

.03 Budget Office. The NOAA Budget Office will make appropriate changes to the Table of Organization.

Appendix A – Organization Levels and Titles

Appendix B – Key Position Titles