

**SUPPLEMENTAL GUIDANCE
HANDBOOK TO: NAO 200-7
INITIATING AND PROCESSING ORGANIZATIONAL CHANGES**

<p>1. PURPOSE</p>	<p>Organizational changes must be based on sound principles of organizational design and functional requirements as defined by the organizational mission. Organizational structures must be designed to be economical and efficient to avoid unnecessary management layers, to reduce administrative overhead, and to establish clear lines of accountability and authority. Modifications may be required for any proposed organizational changes that do not incorporate these principles.</p> <p>This handbook provides supplemental guidance and procedures for initiating, processing, and implementing changes to the National Oceanic and Atmospheric Administration’s (NOAA) organizational structure, contained in Department Organization Order (DOO) 25-5, dated May 4, 2015 (NOAA Organization Structure).</p> <p>In order for a reorganization to be implemented, organizations must provide all required documentation. All documents are necessary to ensure appropriate alignment of people and utilization of financial resources. The information is input into three systems: The National Finance Center (NFC), which is our official payroll and personnel system; NOA094, the NOAA organization code system; and the Commerce Business Systems, Commerce’s enterprise financial management system. Documents are also required to update the NOAA Organizational Handbook, which documents management structure and organizational alignment within NOAA organizations.</p> <p>This handbook supersedes Handbook to NAO 200-7, Procedures for Initiating and Processing Organizational Changes, dated March 20, 2009, (Handbook to NAO 200-7).</p> <p>A. MAJOR CHANGES. The major changes include definitions, delegations, and clarification of the reorganization/restructuring request process. New appendices have been added to further define the reorganization/restructuring categories and each phase of the reorganization/restructuring process.</p> <p>NOAA reorganizations are classified into five categories:</p> <p>1. <u>Category 1: Realignment of Employees</u></p> <ul style="list-style-type: none">➤ No New Org Codes Established➤ No DOO 25-5 Changes or Reprogramming➤ Line Office Internal Structure, Consolidation
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<p>1. PURPOSE (Cont'd)</p>	<p>2. <u>Category 2:</u> Establishment of New Organization Code(s),</p> <ul style="list-style-type: none"> ➤ No DOO 25-5 Changes or Reprogramming ➤ Staff Office (AGO, OCAO, OCFO, OCIO, WFMO) and Line Office Staff Offices <p>3. <u>Category 3:</u> New Organization Code(s) or Rename Existing Org Code(s)</p> <ul style="list-style-type: none"> ➤ No DOO 25-5 Changes or Reprogramming ➤ Line Office <p>4. <u>Category 4:</u> DOO 25-5 Changes, No Reprogramming</p> <ul style="list-style-type: none"> ➤ Line Office/Staff Office <p>5. <u>Category 5:</u> Reprogramming with/without DOO 25-5 Changes</p> <p>Each category is comprised of four phases:</p> <p>a) <u>Consultation Phase:</u> LO/SO contacts WFMO to discuss changes.</p> <p>b) <u>Design Phase:</u> LO/SO and WFMO create required documents for Reorganization package.</p> <p>c) <u>Approval Phase:</u> Reorganization package is routed through appropriate channels for approval.</p> <p>d) <u>Implementation Phase:</u> Reorganization package is forwarded to WFMO for processing.</p>
<p>2. SCOPE</p>	<p>The provisions of this Handbook are applicable to all proposed NOAA organization changes.</p>
<p>3. DEFINITIONS</p>	<p>A. <u>Approval-in-Principle.</u> The Under Secretary of Commerce for Oceans and Atmosphere and the Administrator (Under Secretary) or Deputy Under Secretary (DUS) provides written notification of approval or disapproval of the request to restructure or reorganize. This notification must be provided in a written format to include an email or memorandum. The Assistant Administrator or Deputy Assistant Administrator also provides written notification of approval or disapproval of the request to restructure or reorganize for a Category 1 and 3 Reorganization.</p> <p>B. <u>Basic NOAA Organization.</u> Those organizations which report directly to the Under Secretary of Commerce for Oceans and Atmosphere and Administrator (the “Under Secretary”) or the 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 Handbook (DOO) 25-5.</p>

**3. DEFINITIONS
(Cont'd)**

- C. Commerce Business System (CBS).** The Department of Commerce's enterprise financial management system. It provides reliable, timely information within a security infrastructure. The system can produce both budget and financial reports from the financial management system.
- D. Line Office.** An organization headed by an AA, performing one or more of the mission/program functions assigned to NOAA.
- E. 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.).
- F. MARS.** Management Analysis and Reporting System. A NOAA-wide management tool, which includes budget and finance information, commitments, and personnel information.
- G. 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.
- H. National Finance Center (NFC).** A federal government agency that provides human resources, financial and administrative services for agencies of the U.S. federal government. NFC's HR system suite supports core system services such as payroll and personnel action processing, as well as related HR operational services such as recruitment and position classification.
- I. National Finance Center (NFC) Organization Code.** An 18 digit numerical code (e.g., 54-00-00-0000-00-00-00) used to identify an organizational unit for NOAA budget, payroll, and personnel functions. (See Appendix A)
- J. NOAA Circular.** The document used for affecting all NOAA reorganizations (with or without reprogramming or DOO 25-5 changes). The Circular is the official document created by WFMO for all organizational changes including realignments of employees in NOAA. The issuance date on the Circular, which is shown on right hand corner, must be on or before the effective date written in the text of the Circular and is approved by the Director for Workforce Management.
- K. 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.

**3. DEFINITIONS
(Cont'd)**

- L. NOAA Organization Handbook.** An electronic collection of functional statements for organizations beyond those prescribed as the basic NOAA organization in DOO 25-5. The NOAA Organization Handbook (http://www.corporateservices.noaa.gov/ames/organizational_handbook/) is a component of the NOAA Directives System. http://www.corporateservices.noaa.gov/ames/administrative_orders/chapter_200/200-1.html
- M. 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.
- N. Organization Design.** The manner in which management achieves the right combination of differentiation and integration of the organization's operation. This process entails performing the practice of sound management principles to the alteration, establishment, abolishment, or operation of organizational units.
- O. Organization Unit.** A distinct component identified by its own name and NFC/NOAA organization code.
- P. Position Management.** The skillful use of people to accomplish the organization's mission while conserving average grade/band levels and controlling costs. Using a systematic approach to determine the number of positions needed, the skills and knowledge required, and the grouping and assignment of duties and responsibilities to achieve the maximum efficiency and economy in the work force. The structuring of positions, functions, and organizations in a manner that will optimize efficiency, productivity, and organizational effectiveness while conserving resources.
- Q. Realignment.** The movement of an employee and employee's position when there is an organization change such as, with a reorganization or transfer of function. The employee stays in NOAA and there is no change in the employee's position title, grade/band or pay. <http://www.opm.gov/policy-data-oversight/data-analysis-documentation/personnel-documentation/processing-personnel-actions/gppa21.pdf>
- R. Reassignment.** A reassignment is when an employee leaves their position of record and the employee remains in NOAA or any Department component and is assigned to a new position description. <http://www.opm.gov/policy-data-oversight/data-analysis-documentation/personnel-documentation/processing-personnel-actions/gppa14.pdf>

<p>3. DEFINITIONS (Cont'd)</p>	<p>S. <u>Reorganization.</u> The establishment, reassignment, or abolishment of organizational units and codes 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.</p> <p>T. <u>Reprogramming.</u> The shifting of resources within an appropriation account from one program, project, or activity to another, to use them for purposes other than those outlined in the budget justifications or expressed as Congressional intent in the enacted appropriations bill and Committee reports determined by the NOAA Budget Office (NBO).</p> <p>U. <u>Restructuring.</u> Restructuring/reshaping includes reorganization, furlough, transfer of function, reduction in force, etc. conducted to address budgetary shortfall, change in program priorities, transfer of mission to another organization, etc.</p> <p>V. <u>Staff Office.</u> An organization performing NOAA-wide support functions and reporting directly to the Under Secretary or the Deputy Under Secretary.</p> <p>W. <u>Staff Office Support Organizations.</u> Those organizations <u>within</u> the Staff Offices (SO) performing non-programmatic functions common to all organizations (e.g., budget, management analysis, information technology, etc.).</p> <p>X. <u>Transfer of Function.</u> The transfer of the performance of a continuing function from one competitive area to one or more different competitive areas, except when the function involved is virtually identical to functions already being performed in the other competitive area(s); or (2) the movement of the competitive area in which the function is performed to another local commuting area requiring Department approval.</p>
<p>4. REQUIREMENTS</p>	<p>A. <u>Organizational Changes.</u> Organizational changes shall be based on sound principles of organizational design. Organizational structures shall be designed to be economical and efficient, to avoid unnecessary management layers, to reduce administrative overhead, and to establish clear lines of authority and accountability. Modifications may be required for any proposed organizational change(s) that do not incorporate these principles.</p> <ol style="list-style-type: none"> 1. The directions set forth in this handbook and the associated appendices shall be followed in titling key personnel positions and organizations. 2. Organizations and positions shall be planned so they are logical, internally consistent, and systematically fitted into an orderly, productive, and efficient organization.

**4. REQUIREMENTS
(Cont'd)**

3. Staff resources shall be utilized in accordance with a sound position management program providing proper balance among mission needs, efficiency and economy of operations, and effective employee utilization.
4. The number of deputies, assistants, and supervisors shall be minimized, and emphasis placed on line responsibilities. Team leaders shall be used as alternatives to supervisors as appropriate.
5. The number of organizational levels shall be minimized. Authority shall be delegated and centralized to the lowest appropriate working level. Single sub-units (i.e., one division, one branch, one section, one unit) shall not be established. For example, a subdivided branch must have two or more sections.
6. Functional overlap or fragmentation shall be avoided.
7. Positions shall be established consistent with current mission, functions, and levels of work assigned to the organization while assuring full position utilization.
8. Programs that span two or more NOAA organizations shall be managed through the use of matrix management design. Matrix management design is an organizational structure in which a program manager has accountability for program success, and shares responsibility with functional managers for assigning priorities and for directing the work of key responsible individuals assigned to the program. Changes to a matrix managed program are approved through the NOAA Executive Decision Process.

B. Department Organization Order (DOO) 25-5, National Oceanic and Atmospheric Administration. The DOO 25-5 documents NOAA's basic organization. A revision to the DOO is required for all organizational changes affecting an organization unit at, or equivalent to, the level of the Line Office (LO).

C. Workforce Management Office (WFMO) Advisory Consultation. The WFMO is responsible for coordination and compliance review of all reorganization/ restructuring request that require approval by the Under Secretary or Deputy Under Secretary. Therefore, an advisory consultation meeting must be held prior to assembling the reorganization transmittal package. Contact the NOAA Reorganization Program Manager within the Human Capital Strategy Division, to schedule the advisory meeting.

D. Reorganization Change Transmittal Package. The requesting organization shall ensure that the following steps are accomplished in preparation for submission of a proposed organizational revision.

<p>5. AUTHORITY TO APPROVE ORGANIZATION CHANGES</p>	<p>Approval authority as specified below cannot be re-delegated.</p> <p>A. <u>Category 1.</u> Line Office (LO) internal structure changes not specified above (4. Requirements) are approved by the LO Assistant Administrators/Deputy Assistant Administrators. (Category 1 or 3)</p> <p>B. <u>Category 2.</u></p> <ol style="list-style-type: none"> 1. Internal structure of NOAA Staff Office changes are approved by the Under Secretary or Deputy Under Secretary for Operations based on reporting relationships. 2. Line Office Support Organization changes are approved by the Deputy Under Secretary for Operations. <p>C. <u>Category 3.</u> Line Office (LO) new organization code or rename existing organization code are approved by the LO Assistant Administrators/Deputy Assistant Administrators. (Category 1 or 3)</p> <p>D. <u>Category 4.</u> DOO 25-5 changes and no reprogramming are approved by the Deputy Under Secretary for Operations and the Department of Commerce Chief Financial Officer and Assistant Secretary for Administration (CFO/ASA).</p> <p>E. <u>Category 5.</u> Reprogramming with/without DOO 25-5 changes are approved by the Under Secretary and the Department of Commerce Chief Financial Officer and Assistant Secretary for Administration (CFO/ASA).</p>
<p>6. RESPONSIBILITIES</p>	<p>Organization changes cannot to be finalized until all clearances and/or approvals are complete. Approved organization changes shall be announced via NOAA Circular. The effective date will be contained in the body of the Circular. Therefore, organization changes cannot be implemented prior to the effective date indicated in the Circular. However, various IT systems (NFC, CBS, NOA094) reflecting the organization change may be established prior to the effective date.</p> <p>A. <u>Line/Staff Office (LO/SO)</u> All Line/Staff Office (LO/SO) organization change requests that propose changes to the basic NOAA organizational structure must be reviewed by the Workforce Management Office (WFMO) for compliance with organization and position management principles prior to being submitted to the appropriate official for approval. The requests must meet all required documentation criteria for the specific category as outlined in this Handbook. Also, the NOAA Finance Office must be notified by the requesting organization of its intent to change organization structure codes. In addition, WFMO will coordinate the clearance of all reorganizations, including assignment of organizational codes and preparation of formal approval documentation.</p>

**6. RESPONSIBILITIES
(Cont'd)**

B. NOAA Office of the Chief Financial Officer (CFO) The NOAA CFO provides concurrence that a reprogramming is not required. He/she will sign the Reprogramming Determination document.

C. NOAA Budget Office (NBO) The NBO shall coordinate the clearance of all reprogramming notices. The organization proposing the change will seek a determination from the CFO as to whether the proposed change will constitute a reprogramming and/or require Congressional notification. The CFO determination must be documented in the reorganization package (i.e. Reprogramming Determination Document, e-mail document, and/or memorandum).

D. Workforce Management Office (WFMO)

1. Human Capital Strategy Division Coordinates with all WFMO Divisions addressing various subject matter, concerns and functions throughout the reorganization process. WFMO will prepare the final NOAA Circular to implement the organization change and coordinate the effective date with the affected LO/SO. A NOAA Circular is used to establish, abolish, and/or change NFC/NOAA organization codes. WFMO Director will sign all NOAA Circulars communicating approved organization changes. 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.

E. Assistant Administrator Provides approval to begin the reorganization process.

F. Deputy Under Secretary for Operations Provides approval to begin the reorganization process for Staff Offices and Line Office Support Organizations, as well as, Category 4 and 5.

7. CATEGORY 4 OR 5 - CHANGES TO THE BASIC NOAA ORGANIZATION AND/OR CHANGES REQUIRING REPROGRAMMING

BACKGROUND INFORMATION. The DOO 25-5 is the official medium for documenting the basic NOAA organization. A revision to the DOO is required for all organizational changes affecting an organization unit at or equivalent to the office level within the Line Office. Only those organizations responsible for mission-related functions are included in DOO 25-5. These changes will also be documented in a NOAA Circular approved by the Director for Workforce Management.

LINE/STAFF OFFICE REQUIREMENTS.

- A. The Assistant Administrator or Deputy Under Secretary for Operations informs the Under Secretary of the proposed change and requests concurrence to proceed with the formal planning. This notification must be provided in a written format to include an email or memorandum. A copy of this notification must be included in the reorganization package.

Advisory Notification and Request to Proceed Memorandum to the Under Secretary. The Assistant Administrator or Deputy Under Secretary shall advise the Under Secretary of the proposed change(s); and request approval to effect the change. This advisory notification and request for approval to proceed, shall be in the form of a memorandum with the following language and signature line at the end of the memo:

“The request to proceed with effecting the proposed revision to NOAA’s basic organization and/or reprogramming change within:

(Name of NOAA Organizational Unit)

is hereby:

Approved

Disapproved

- B. The organization requesting the change shall obtain written approval from the NOAA Budget Office (NBO) for reprogramming and/or Congressional approval.
- C. If organizational changes affect the way financial and/or administrative services are managed or organized, the organization requesting the change must contact the appropriate Staff Office (SO) Director (AGO, OCAO, OCFO, OCIO, WFMO) for review and concurrence of proposed changes.

**7. CATEGORY 4 OR 5-
**CHANGES TO THE
BASIC NOAA
ORGANIZATION
AND/OR CHANGES
REQUIRING
REPROGRAMMING
(Cont'd)****

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

E. The reorganization package must include hard copies and electronic copies of the following documents for transmittal to the Department of Commerce, Chief Financial Officer/Assistant Secretary for Administration (CFO/ASA):

- 1. Transmittal Memorandum.** A memorandum from the Under Secretary to the CFO/ASA providing an executive summary of the proposed changes.
- 2. Justification and Rationale.** A justification and rationale for the reorganization. Documentation must describe the operational benefits and resource effects in sufficient scope and detail to validate the proposed change(s).

The justification must include the following:

- a.** The events and conditions establishing the need for the organizational change.
- b.** A comprehensive description of the proposed change comparing the current organizational structure and the proposed organizational structure.
- c.** A statement with attached written notification that the Under Secretary has approved the reorganization in principle.
- d.** A description of the associated facilities and information technology requirements (e.g., office space, furniture, computer, telephone, etc.).
- e.** 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 written by the requesting office).
- f.** 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. CATEGORY 4 OR 5-
**CHANGES TO THE
BASIC NOAA
ORGANIZATION
AND/OR CHANGES
REQUIRING
REPROGRAMMING
(Cont'd)****

- g.** A statement addressing impact on other organizations, if any.
- h.** 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 through WFMO*).
- i.** A statement addressing SES, ST, and SL positions affected by the reorganization.

F. The proposed wording to update the DOO 25-5, in electronic format, submitted to WFMO. In cases where a reprogramming change occurs without a change to the basic NOAA organizational structure, proposed DOO 25-5 wording is not required.

G. Organization charts for the current and proposed organization.

H. A personnel crosswalk from the current organization to the proposed organization including: NFC org code, billet number, employee id, employee last name, employee first name, employee middle initial, position title, pay plan-series-grade, series description, job code, position number, duty station city, and duty station state. All funded vacancies must be included. The crosswalk must be submitted as an Excel spreadsheet in electronic and hard copy.

I. Functional statements for the current and proposed organization must be submitted to WFMO in electronic format for inclusion in the NOAA Organization Handbook.

J. Copies of classified position descriptions for all new or revised positions must be written and classified prior to submission of the reorganization package.

WFMO REQUIREMENTS

A. 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 this Handbook.

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

**8. CATEGORY 2-
OTHER
ORGANIZATION
CHANGES
REQUIRING UNDER
SECRETARY OR
DEPUTY UNDER
SECRETARY
APPROVAL**

BACKGROUND INFORMATION. The NOAA Circular is the medium for effecting NOAA organizational changes in this section of this Handbook.

LINE/STAFF OFFICE REQUIREMENTS.

- A.** Prior to submitting any formal reorganization package to WFMO, the LO AA/DAA or SO Director must inform the Under Secretary or Deputy Under Secretary for Operations, based on reporting relationships, of the proposed change and request approval to proceed. This notification must be provided in a written format to include an email or memorandum.
- B.** The organization proposing the change will seek a reprogramming and Congressional approval determination from the NBO in written format.
- C.** 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 (AGO, OCAO, OCFO, OCIO, WFMO) for review and clearance of proposed changes.
- D.** The organization proposing the change will contact WFMO, to discuss the proposed reorganization and obtain advice on organization design. WFMO will provide guidance 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. WFMO will also ensure appropriate labor/management relations obligations are fulfilled.
- E.** The final reorganization package must include hard copies and electronic copies of the following documents for transmittal to the Deputy Under Secretary.
 - 1. Transmittal Memorandum.** A memorandum from the SO Director or LO AA/DAA providing an executive summary of the proposed changes.
 - 2. Justification and Rationale.** A justification and rationale for the reorganization. Documentation must describe the operational benefits and resource effects in sufficient scope and detail to validate the proposed change(s).

The justification must include the following:

 - a.** The events and conditions establishing the need for the organizational change.
 - b.** A comprehensive description of the proposed change comparing the current organizational structure and the proposed organizational structure.

**8. CATEGORY 2-
OTHER
ORGANIZATION
CHANGES
REQUIRING UNDER
SECRETARY OR
DEPUTY UNDER
SECRETARY
APPROVAL
(Cont'd)**

- c. A statement with attached written notification that the Deputy Under Secretary for Operations has approved the reorganization in principle.
 - d. A description of the associated facilities and information technology requirements (e.g., office space, furniture, computer, telephone, etc.).
 - e. 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.
 - f. 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.
 - g. A statement addressing impact on other organizations, if any.
 - h. 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 through WFMO*).
 - i. A statement addressing SES, ST and SL positions affected in the reorganization.
- 3. Organization Charts.** Organization charts for the current and proposed organization.
- 4. Crosswalk.** A personnel crosswalk from the current organization to the proposed organization including: NFC org code, billet number, employee id, employee last name, employee first name, employee middle initial, position title, pay plan-series-grade, series description, job code, position number, duty station city, and duty station state. The crosswalk must be submitted as an Excel spreadsheet in electronic and hard copy.
- 5. Functional Statements.** Functional statements for the current and proposed organization must be submitted to WFMO in electronic format for inclusion in the NOAA Organization Handbook.
- 6. Position Descriptions.** Copies of classified position descriptions for all new or revised positions must be written and classified prior to submission of the reorganization package.

<p>8. <u>CATEGORY 2 - OTHER ORGANIZATION CHANGES REQUIRING UNDER SECRETARY OR DEPUTY UNDER SECRETARY APPROVAL (Cont'd)</u></p>	<p><u>WFMO REQUIREMENTS</u></p> <ol style="list-style-type: none"> 1. Approved organization changes will be announced in a NOAA Circular approved by the Director for WFMO. Organization changes are not to be implemented prior to the date indicated in the Circular.
<p>9. <u>CATEGORIES 1 OR 3 - LINE OFFICE INTERNAL STRUCTURE CHANGES REQUIRING APPROVAL BY AN ASSISTANT ADMINISTRATOR</u></p>	<p><u>BACKGROUND INFORMATION.</u> The NOAA Circular is the medium for effecting NOAA organizational changes in this section of this Handbook.</p> <p><u>LINE/STAFF OFFICE REQUIREMENTS.</u></p> <ol style="list-style-type: none"> 1. Prior to submitting any formal reorganization package to WFMO, the LO AA/DAA must approve the proposed change to proceed. This notification must be provided in a written format to include an email or memorandum. 2. The organization proposing the change will seek a reprogramming and Congressional approval determination from the NBO in written format. 3. Organizational changes may not affect the way financial and/or administrative services are managed or organized. 4. The organization proposing the change will contact WFMO, to discuss the proposed reorganization and obtain advice on organization design. WFMO will provide guidance 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. WFMO will also ensure appropriate labor/management relations obligations are fulfilled. 5. The final reorganization package, prepared and sent to WFMO by the LO proposing the reorganization, must include hard copies and electronic copies of the following documents for transmittal to the Director for WFMO. <ol style="list-style-type: none"> 1. <u>Transmittal Memorandum.</u> A memorandum from the LO AA/DAA providing an executive summary of the proposed changes. 2. <u>Justification.</u> A justification and rationale for the reorganization. Documentation must describe the operational benefits and resource effects in sufficient scope and detail to validate the proposed change(s).

**9. CATEGORIES 1 OR 3
- LINE OFFICE
INTERNAL
STRUCTURE
CHANGES
REQUIRING
APPROVAL BY AN
ASSISTANT
ADMINISTRATOR
(Cont'd)**

The justification must include the following:

- a. The events and conditions establishing the need for the organizational change.
 - b. A comprehensive description of the proposed change comparing the current organizational structure and the proposed organizational structure.
 - c. A statement with attached written notification that the LO AA/DAA has approved the reorganization in principle.
 - d. A description of the associated facilities and information technology requirements (e.g., office space, furniture, computer, telephone, etc.).
 - e. 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.
 - f. 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.
 - g. A statement addressing impact on other organizations, if any.
 - h. 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 through WFMO*).
 - i. A statement addressing SES, ST and SL positions affected in the reorganization.
3. **Organization Charts**. Organization charts for the current and proposed organization.
4. **Crosswalk**. A personnel crosswalk from the current organization to the proposed organization including: NFC org code, billet number, employee id, employee last name, employee first name, employee middle initial, position title, pay plan-series-grade, series description, job code, position number, duty station city, and duty station state (See Appendix I). The crosswalk must be submitted as an Excel spreadsheet in electronic and hard copy.

<p>9. CATEGORIES 1 OR 3 - LINE OFFICE INTERNAL STRUCTURE CHANGES REQUIRING APPROVAL BY AN ASSISTANT ADMINISTRATOR (Cont'd)</p>	<p>5. <u>Functional Statements.</u> Functional statements for the current and proposed organization must be submitted to WFMO in electronic format for inclusion in the NOAA Organization Handbook.</p> <p>6. <u>Position Descriptions.</u> Copies of classified position descriptions for all new or revised positions must be written and classified prior to submission of the reorganization package.</p> <p><u>WFMO REQUIREMENTS</u></p> <p>1. Approved organization changes will be announced in a NOAA Circular approved by the Director for WFMO. Organization changes are not to be implemented prior to the date indicated in the Circular.</p>
<p>10. REFERENCES</p>	<p>A. Department Administrative Handbook (DAO) 200-7, Department Organization Handbook Series http://www.osec.doc.gov/opog/dmp/daos/dao200_7.html</p> <p>B. Department Organization Handbook (DOO) 25-5, National Oceanic and Atmospheric Administration http://www.osec.doc.gov/opog/dmp/doos/doo25_5.html</p> <p>C. Office of Management and Budget (OMB) Circular A-11, Preparation, Submission and Execution of the Budget http://www.whitehouse.gov/sites/default/files/omb/assets/a11_current_year/a11_2013.pdf</p>
<p>11. APPENDICES</p>	<p>Appendix A – Reorganization Category Chart with Required Documents Appendix B – Organization Levels and Titles Appendix C – Key Position Titles Appendix D – Check Sheet for Category 1 or 3 Reorganization Appendix E – Check Sheet for Category 2 Reorganization Appendix F – Check Sheet for Category 4 or 5 Reorganization Appendix G – Format for Transmittal Memo for Reorganization/Reprogramming of NOAA Basic Organization Appendix H – Format for Transmittal Memo for Organization Change Not Affecting NOAA Basic Organization and Not Requiring Reprogramming Appendix I – Crosswalk Format-Realignment Appendix J - Crosswalk Format-Reassignment Appendix K - NOAA Circular Template Appendix L - NOAA Budget Standard Operating Procedure for Approval of Reorganizations</p>

**HANDBOOK TO NOAA ADMINISTRATIVE ORDER 200-7 (NAO 200-7)
APPENDIX A**

Reorganization Category Chart with Required Documents

Category	Description	Required Documents
1	<p>Line Office Internal Structure, Consolidation</p> <ul style="list-style-type: none"> - No New Org Codes Established - No DOO 25-5 Changes or Reprogramming - Only Realignment of Employees 	<ul style="list-style-type: none"> -Signed Reprogramming Determination Document -Signed Approval-In-Principle Memo from LO AA/DAA -Signed Justification Memo from LO AA/DAA to WFMO Director -New PD's for Classification -Crosswalk
2	<p>Staff Office (WFMO/OCIO/OCAO/OCFO/AGO) and Line Office Support Organizations</p> <ul style="list-style-type: none"> - New Org Code or Rename Existing Org Code - No DOO 25-5 Changes or Reprogramming 	<ul style="list-style-type: none"> -Signed Reprogramming Determination Document -Signed Approval-In-Principle Memo from DUS/O -Current/Proposed Functional Statements -Current/Proposed Organization Charts -Crosswalk -Signed Justification Memo from SO Director or LO AA/DAA to WFMO Director -New PD's for Classification
3	<p>Line Office New Organization Code or Rename Existing Org Code</p> <ul style="list-style-type: none"> - No DOO 25-5 Changes or Reprogramming 	<ul style="list-style-type: none"> -Signed Reprogramming Determination Document -Signed Approval-In-Principle Memo from LO AA or DAA -Current/Proposed Functional Statements -Current/Proposed Organization Charts -Crosswalk -Signed Justification Memo from LO AA to WFMO Director -New PD's for Classification -Initial Bargaining Unit Approvals – if applicable
4	<p>Line/Staff Office DOO 25-5 Changes</p> <ul style="list-style-type: none"> - No Reprogramming 	<ul style="list-style-type: none"> -Signed Reprogramming Determination Document -Signed Approval-In-Principle Memo from DUS/O -Current/Proposed Functional Statements -Current/Proposed Organization Charts -Crosswalk -Signed Justification Memo from LO AA to WFMO Director

		<ul style="list-style-type: none"> -New PD's for Classification -Bargaining Unit Pre-Decisional Information (PDI) comments and suggestions – if applicable
5	Reprogramming with/without DOO 25-5 Changes	<ul style="list-style-type: none"> -Signed Reprogramming Determination Document -Signed Approval-In-Principle Memo from DUS/O -Current/Proposed Functional Statements -Current/Proposed Organization Charts -Crosswalk -Signed Justification Memo from LO AA/DAA to WFMO Director -New PD's for Classification -Bargaining Unit Pre-Decisional Information (PDI) comments and suggestions – if applicable -Letters to OMB and Congress

**HANDBOOK TO NOAA ADMINISTRATIVE ORDER 200-7 (NAO 200-7)
APPENDIX B**

ORGANIZATION LEVELS AND TITLES

The table below is the approved organization titles for NOAA components. Organizations not currently adhering to these titles may continue to use existing titles until such time they reorganize. Future changes must conform to these titles. It is also required that titles within an organization be consistent.

The first level of the organization is at the Bureau level which in this case is NOAA.

*The term Office can be used at the fourth level if headed by an SES only. It does not have to be an FMC.

Second Level (Line Office headed by an AA)	Third Level (FMC)	Fourth Level (Headed by SES or GS-15 or ZP/ZA- V)	Fifth Level	Sixth Level	Seventh Level
National Weather Service National Marine Fisheries Service National Ocean Service National Environmental Satellite, Data, and Information Service Oceanic and Atmospheric Research Program Planning and Integration <u>Office of Marine & Aviation Operations</u> Headed by a Director	Office Center Region Laboratory (OAR) Staff (for support functions) Also acceptable for support functions: -Program -Unit	Division → Laboratory → Center → *Office →	Branch Division Division Division Laboratory Center	>Section >Branch >Branch >Branch >Branch >Branch	>Unit >Section >Section >Section >Section >Section
<u>Staff Offices (SO's)</u> Report directly to the Under Secretary or Deputy Under Secretary	Office Division	Division Branch	Branch Section	Section Unit	Unit

HANDBOOK TO NOAA ADMINISTRATIVE ORDER 200-7 (NAO-2007)
APPENDIX C

KEY POSITION TITLES

LINE OFFICE

- | | |
|----------------------|--|
| 1. Head: | Assistant Administrator |
| 2. Principle Deputy: | Deputy Assistant Administrator |
| 3. Limited Deputy: | Deputy Assistant Administrator for XYZ |

OFFICE OF GENERAL COUNSEL

- | | |
|----------------------|------------------------|
| 1. Head: | General Counsel |
| 2. Principal Deputy: | Deputy General Counsel |

STAFF OFFICE

- | | |
|----------------------|-----------------|
| 1. Head: | Director |
| 2. Principal Deputy: | Deputy Director |

OFFICE REPORTING TO AN ASSISTANT ADMINISTRATOR OR DEPUTY ASSISTANT ADMINISTRATOR

- | | |
|---------------------|-----------------|
| 1. Head: | Director |
| 2. Principal Deputy | Deputy Director |

FISHERY LABORATORY, RESEARCH LABORATORY, MARINE AND AIRCRAFT OPERATIONS CENTERS

- | | |
|----------------------|-----------------|
| 1. Head: | Director |
| 2. Principal Deputy: | Deputy Director |

DIVISIONS

- | | |
|----------------------|--|
| 1. Head: | Director (Optional Title: Chief) |
| 2. Principal Deputy: | Deputy Director (Optional Title: Deputy Chief) |

BRANCH, SECTION AND UNIT

- | | |
|----------------------|--|
| 1. Head: | Manager (Optional Title: Chief) |
| 2. Principal Deputy: | Assistant Manager (Optional Title: Deputy Chief) |

ALL OTHER ORGANIZATIONAL ELEMENTS, AS APPROPRIATE

- | | |
|----------------------|--|
| 1. Head: | Manager, Official-in-Charge, Meteorologist-in-Charge, Commanding Officer, Chief of Party, Special Agent in Charge, Team Leader |
| 2. Principal Deputy: | Assistant Manager, Deputy ABC, Executive Officers (Ship) |

HANDBOOK TO NOAA ADMINISTRATIVE ORDER 200-7 (NAO-200-7)
APPENDIX D

CHECK SHEET CATEGORY 1 and 3

Category 1: Line Office Internal Structure, Consolidation – No New Org Codes Established, No DOO 25-5 Changes or Reprogramming – Only Realignments of Employees
Note: Can Abolish, Rename or Merge organization(s) into existing organization codes

The final reorganization package, prepared and sent to WFMO by the LO proposing the reorganization, must include hard copies and electronic copies of the following documents for transmittal to the Director for Workforce Management. Note: see Section 8 for detailed guidance:

- Transmittal** A memorandum from the LO AA/DAA providing an executive summary of the proposed changes.
- Justification** A justification and rationale for the reorganization. Documentation must describe the operational benefits and resource effects in sufficient scope and detail to validate the proposed change(s).

The justification must include the following:

- The events and conditions establishing the need for the organizational change.
 - A comprehensive description of the proposed change comparing the current organizational structure and the proposed organizational structure.
 - A statement with attached written notification that the LO AA has approved the reorganization in principle.
 - A description of the associated facilities and information technology requirements (e.g., office space, furniture, computer, telephone, etc.).
 - 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.
 - 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.
 - A statement addressing impact on other organizations, if any.
 - 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 through WFMO).
 - A statement addressing SES, ST and SL positions affected in the reorganization.
- Organization Charts** Organization charts for the current and proposed organization.

- Crosswalk** A personnel crosswalk from the current organization to the proposed organization including: NFC org code, billet number, employee id, employee last name, employee first name, employee middle initial, position title, pay plan-series-grade, series description, job code, position number, duty station city, and duty station state. The crosswalk must be submitted as an Excel spreadsheet in electronic and hard copy.

- Functional Statements** Functional statements for the current and proposed organization must be submitted to WFMO in electronic format for inclusion in the NOAA Organization Handbook.

- Position Descriptions** Copies of classified position descriptions for all new or revised positions must be written and classified prior to submission of the reorganization package.

Category 3: Line Office new Organization Code or Rename existing Org Code – No DOO 25-5 Changes or Reprogramming

The final reorganization package, prepared and sent to WFMO by the LO proposing the reorganization, must include hard copies and electronic copies of the following documents for transmittal to the Director for Workforce Management. Note: see Section 8 for detailed guidance:

- Transmittal** A memorandum from the LO AA/DAA providing an executive summary of the proposed changes.
- Justification** A justification and rationale for the reorganization. Documentation must describe the operational benefits and resource effects in sufficient scope and detail to validate the proposed change(s).

The justification must include the following:

- The events and conditions establishing the need for the organizational change.
 - A comprehensive description of the proposed change comparing the current organizational structure and the proposed organizational structure.
 - A statement with attached written notification that the LO AA/DAA has approved the reorganization in principle.
 - A description of the associated facilities and information technology requirements (e.g., office space, furniture, computer, telephone, etc.).
 - 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.
 - 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.
 - A statement addressing impact on other organizations, if any.
 - 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 through WFMO).
 - A statement addressing SES, ST and SL positions affected in the reorganization.
- Organization Charts** Organization charts for the current and proposed organization.
- Crosswalk** A personnel crosswalk from the current organization to the proposed organization including: NFC org code, billet number, employee id, employee last name, employee first name, employee middle initial, position title, pay plan-series-grade, series description, job code, position number, duty station city, and duty station state. The crosswalk must be submitted as an Excel spreadsheet in electronic and hard copy.

- Functional Statements** Functional statements for the current and proposed organization must be submitted to WFMO in electronic format for inclusion in the NOAA Organization Handbook.

- Position Descriptions** Copies of classified position descriptions for all new or revised positions must be written and classified prior to submission of the reorganization package.

HANDBOOK TO NOAA ADMINISTRATIVE ORDER 200-7 (NAO-200-7)
APPENDIX E

CHECK SHEET CATEGORY 2

Category 2: Staff Office (AGO, OCAO, OCFO, OCIO, WFMO) and Line Office Staff Offices new Organization Code – No DOO 25-5 Changes or Reprogramming

The final reorganization package, prepared and sent to WFMO by the LO/SO proposing the reorganization, must include hard copies and electronic copies of the following documents for transmittal to the DUS/O. Note: see Section 7 for detailed guidance:

- Transmittal** A memorandum from the SO Director or LO AA/DAA providing an executive summary of the proposed changes.
- Justification** A justification and rationale for the reorganization. Documentation must describe the operational benefits and resource effects in sufficient scope and detail to validate the proposed change(s).

The justification must include the following:

- The events and conditions establishing the need for the organizational change.
 - A comprehensive description of the proposed change comparing the current organizational structure and the proposed organizational structure.
 - A statement with attached written notification that the Deputy Under Secretary for Operations has approved the reorganization in principle.
 - A description of the associated facilities and information technology requirements (e.g., office space, furniture, computer, telephone, etc.).
 - 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.
 - 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.
 - A statement addressing impact on other organizations, if any.
 - 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 through WFMO).
 - A statement addressing SES, ST and SL positions affected in the reorganization.
- Organization Charts** Organization charts for the current and proposed organization.

- Crosswalk** A personnel crosswalk from the current organization to the proposed organization including: NFC org code, billet number, employee id, employee last name, employee first name, employee middle initial, position title, pay plan-series-grade, series description, job code, position number, duty station city, and duty station state. The crosswalk must be submitted as an Excel spreadsheet in electronic and hard copy.
- Functional Statements** Functional statements for the current and proposed organization must be submitted to WFMO in electronic format for inclusion in the NOAA Organization Handbook.
- Position Descriptions** Copies of classified position descriptions for all new or revised positions must be written and classified prior to submission of the reorganization package.

HANDBOOK TO NOAA ADMINISTRATIVE ORDER 200-7 (NAO-200-7)
APPENDIX F

CHECK SHEET CATEGORY 4 or 5

Category 4: Line Office/Staff Office DOO 25-5 Changes, no Reprogramming

The final reorganization package, prepared and sent to WFMO by the LO/SO proposing the reorganization, must include hard copies and electronic copies of the following documents for transmittal to the Department of Commerce Chief Financial Officer/Assistant Secretary for Administration (CFO/ASA) - Note: see Section 6 for detailed guidance:

- Transmittal** A memorandum from the Under Secretary to the CFO/ASA providing an executive summary of the proposed changes.
- Justification** A justification and rationale for the reorganization. Documentation must describe the operational benefits and resource effects in sufficient scope and detail to validate the proposed change(s).

The justification must include the following:

- The events and conditions establishing the need for the organizational change.
 - A comprehensive description of the proposed change comparing the current organizational structure and the proposed organizational structure.
 - A statement with attached written notification that the Under Secretary has approved the reorganization in principle.
 - A description of the associated facilities and information technology requirements (e.g., office space, furniture, computer, telephone, etc.).
 - 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.
 - 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.
 - A statement addressing impact on other organizations, if any.
 - 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 through WFMO).
 - A statement addressing SES, ST and SL positions affected in the reorganization.
-
- DOO 25-5 Wording** The proposed wording to update the DOO 25-5, in electronic format, submitted to WFMO. In cases where a reprogramming change occurs without a change to the basic NOAA organizational structure, proposed DOO 25-5 wording is not required. Note: This is not optional.

- Organization Charts** Organization charts for the current and proposed organization.
- Crosswalk** A personnel crosswalk from the current organization to the proposed organization including: NFC org code, billet number, employee id, employee last name, employee first name, employee middle initial, position title, pay plan-series-grade, series description, job code, position number, duty station city, and duty station state. All funded vacancies must be included. The crosswalk must be submitted as an Excel spreadsheet in electronic and hard copy.
- Functional Statements** Functional statements for the current and proposed organization must be submitted to WFMO in electronic format for inclusion in the NOAA Organization Handbook.
- Position Descriptions** Copies of classified position descriptions for all new or revised positions must be written and classified prior to submission of the reorganization package.

Category 5: Reprogramming with/without DOO 25-5 Changes

The final reorganization package, prepared and sent to WFMO by the LO/SO proposing the reorganization, must include hard copies and electronic copies of the following documents for transmittal to the Department of Commerce Chief Financial Officer/Assistant Secretary for Administration (CFO/ASA) - Note: see Section 6 for detailed guidance:

- Transmittal** A memorandum from the Under Secretary to the CFO/ASA providing an executive summary of the proposed changes.
- Justification** A justification and rationale for the reorganization. Documentation must describe the operational benefits and resource effects in sufficient scope and detail to validate the proposed change(s).

The justification must include the following:

- The events and conditions establishing the need for the organizational change.
 - A comprehensive description of the proposed change comparing the current organizational structure and the proposed organizational structure.
 - A statement with attached written notification that the Under Secretary has approved the reorganization in principle.
 - A description of the associated facilities and information technology requirements (e.g., office space, furniture, computer, telephone, etc.).
 - 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 written by the requesting office).
 - 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.
 - A statement addressing impact on other organizations, if any.
 - 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 through WFMO).
 - A statement addressing SES, ST and SL positions affected in the reorganization.
-
- DOO 25-5 Wording** The proposed wording to update the DOO 25-5, in electronic format, submitted to WFMO. In cases where a reprogramming change occurs without a change to the basic NOAA organizational structure, proposed DOO 25-5 wording is not required.
-
- Organization Charts** Organization charts for the current and proposed organization.

- Crosswalk** A personnel crosswalk from the current organization to the proposed organization including: NFC org code, billet number, employee id, employee last name, employee first name, employee middle initial, position title, pay plan-series-grade, series description, job code, position number, duty station city, and duty station state. All funded vacancies must be included. The crosswalk must be submitted as an Excel spreadsheet in electronic and hard copy.
- Functional Statements** Functional statements for the current and proposed organization must be submitted to WFMO in electronic format for inclusion in the NOAA Organization Handbook.
- Position Descriptions** Copies of classified position descriptions for all new or revised positions must be written and classified prior to submission of the reorganization package.

HANDBOOK TO NOAA ADMINISTRATIVE ORDER 200-7 (NAO 200-7)
APPENDIX G
FORMAT FOR TRANSMITTAL MEMO FOR
REORGANIZATION/REPROGRAMMING OF NOAA BASIC ORGANIZATION

MEMORANDUM FOR: [Name]
 Assistant Secretary for Administration
 And Chief Financial Officer

FROM: [Name]
 Under Secretary of Commerce for
 Oceans and Atmosphere

SUBJECT: Reorganization of [Name of office being reorganized]

In regular paragraph format, address the following:

- What is being proposed;
- Major points, including reasons for change;
- Potential controversy if any, state if none;
- Other pertinent information;
- Clearance comments: [Office(s) that reviewed/cleared document; or insert “none”];
- Contact person: [Insert name and phone number of contact(s)]

***Try to keep cover memo to one page**

HANDBOOK TO NOAA ADMINISTRATIVE ORDER 200-7 (NAO 200-7)
APPENDIX H

FORMAT FOR TRANSMITTAL MEMO FOR ORGANIZATION CHANGE NOT
AFFECTING NOAA BASIC ORGANIZATION AND NOT REQUIRING
REPROGRAMMING

MEMORANDUM FOR: [Name]
 Under Secretary of Commerce for
 Oceans and Atmosphere

OR: [Name]
 Deputy Under Secretary for
 Operations

FROM: [AA or Head of Staff Office]

SUBJECT: Reorganization of [Name of office being reorganized]

Subject/Issues: [Briefly describe what is being proposed]

Major Points: [In bullet format, insert reasons for change]

Potential Controversy: [In bullet format, insert issues; or “none”]

Other Pertinent Information: [In bullet format, insert information; or “none”]

Clearance Comments: [Office(s) that reviewed/cleared document; or insert “none”]

Contact Person: [Insert name and phone number of contact(s)]

***Try to keep cover memo to one page**

HANDBOOK TO NOAA ADMINISTRATIVE ORDER 200-7 (NAO 200-7)
APPENDIX I
CROSSWALK FORMAT (Realignment)

Current Organization													Proposed Organization										
NFC Org Code	Billet Number	Employee ID	Employee Last Name	Employee First Name	Employee Middle Initial	Position Title	Pay Plan-Series-Grade	Series Description	Job Code	Position Number	Duty Station City	Duty Station State	New NFC Org Code	Billet Number	Employee ID	Reports To Position Number	Pay Plan-Series-Grade	Series Description	Job Code	Position Number	Duty Station City	Duty Station State	

Crosswalk must be submitted as an Excel spreadsheet in hard and soft copy. Crosswalks must **not** contain Social Security numbers. A template can be downloaded from the WFMO website at <http://www.wfm.noaa.gov> under reorganization.

HANDBOOK TO NOAA ADMINISTRATIVE ORDER 200-7 (NAO 200-7)
APPENDIX J
CROSSWALK FORMAT (Reassignment)

Current Organization													Proposed Organization											
NFC Org Code	Billet Number	Employee ID	Employee Last Name	Employee First Name	Employee Middle Initial	Position Title	Pay Plan-Series-Grade	Series Description	Job Code	Position Number	Duty Station City	Duty Station State	New NFC Org Code	Billet Number	Employee ID	Reports To Position Number	Pay Plan-Series-Grade	Series Description	Job Code	Position Number	Duty Station City	Duty Station State	Duty Station Code	

Crosswalk must be submitted as an Excel spreadsheet in hard and soft copy. Crosswalks must **not** contain Social Security numbers. A template can be downloaded from the WFMO website at <http://www.wfm.noaa.gov> under reorganization.

HANDBOOK TO NOAA ADMINISTRATIVE ORDER 200-7 (NAO 200-7)
APPENDIX K

NOAA CIRCULAR TEMPLATE

NOAA Circular

15-05

December 31, 2014

SUBJECT: National Environmental Satellite, Data, and Information Service Organization

TO: Office of the Under Secretary
Staff Offices of the Under Secretary
Administrative Delivery Points

The organization codes will be loaded and active in CBS on January 12, 2015, so that NESDIS can begin changing stored accounting, updating allotments, spend plans and labor projections to be ready for the January 25, 2015 effective date. Effective January 25, 2015, the National Environmental Satellite, Data, and Information Service (NESDIS) is reorganized as follows:

- Abolish the National Climatic Data Center (NCDC), National Oceanographic Data Center (NODC), and the National Geophysical Data Center (NGDC) into the National Center for Environmental Information
- Establish the National Center for Environmental Information as a new Financial Management Center
- Establish the Office of System Architecture and Advance Planning as a new Financial Management Center
- Establish the Office of Satellite Ground Services as a new Financial Management Center
- Abolish the Office of Systems Development
- Establish the Office of Projects, Partnerships, and Analysis
- Rename the Chief Information Division in NESDIS Headquarters to the Assistant Chief Information Officer
- Establish five Branches, Cyber Security Program and Solutions Branch, the IT Architecture and Services Branch, the Data Management and Continuity Operations Branch, the Chief of Staff Support Services Branch, and the Commercial Remote Sensing Regulatory Affairs Branch within the Assistant Chief Information Officer in NESDIS Headquarters
- Establish two branches, the Facilities Management Branch and the Mission Support Branch within the Chief Financial Officer/Chief Administrative Officer
- Rename the International and Interagency Affairs Office to International and Interagency Affairs
- Abolish the Satellite Activities Branch and the Applications and Information Services Branch within the International and Interagency Affairs Office in NESDIS Headquarters
- Establish the Communications Branch and the Executive Operations Branch within the Chief of Staff in NESDIS Headquarters
- Rename the Chief Financial/Chief Administrative Office to Chief Financial Officer/Chief Administrative Officer
- Abolish the Management Operations Branch within the Chief Financial/Chief Administrative Office.

**HANDBOOK TO NOAA ADMINISTRATIVE ORDER 200-7 (NAO 200-7)
APPENDIX K**

NOAA CIRCULAR TEMPLATE

Christine M. Carpino
Acting Director for Workforce Management

Date _____

NOTE: The entire organization is listed to ensure there is no overlap in the NOAA Organization Code, NFC Organization Code and Routing Code and everything flows correctly, changes made are denoted in **bold**.

NOTE: These five mandatory elements must be indicated on all NOAA circulars (NOAA Organization Code, Organization Title, Mail Routing Code, NFC Organization Code, and ABOLISH information).

NOTE: If no Abolish information is relevant to a given NOAA Circular, then “N/A” must be indicated in the ABOLISH section of the NOAA Circular.

HANDBOOK TO NOAA ADMINISTRATIVE ORDER 200-7 (NAO 200-7)
APPENDIX L

**NOAA Budget Standard Operating Procedure for
Approval of Reorganizations**

Per NOA 200-7: Initiating and Processing Organizational Changes, Handbook; Procedures for Initiating and Processing Organizational Changes, all reorganizations require Chief Financial Officer (CFO) concurrence that a reprogramming is not required.

SOP to obtain CFO concurrence includes:

- 1) WFMO will provide Program Office the NOAA Budget Office (NBO) SOP for Approval of Reorganizations.
- 2) Program Office will complete Reprogramming Determination Document, template below.
- 3) Package for submittal to NBO will include:
 - a. Reprogramming Determination Document
 - b. Signed memo from Line Office Deputy Assistant Administrator to CFO describing action.
- 4) Program Office emails materials to NBO Chief of Staff, currently Charlene.Dunn@noaa.gov, with a cc to NBO reorganization POC currently Vicki.Schwantes@noaa.gov.
- 5) NBO Reorganization POC is available throughout process to provide guidance, review package, revise as necessary with the Program, and prepare CFO Cost Analysis and Routing Template for CFO signature.
- 6) Package is submitted for CFO signature by NBO Reorganization POC to Executive Assistant of the CFO, currently Karla.Burch-White@noaa.gov.
- 7) Once CFO signature is obtained, NBO Reorganization POC emails notification of CFO concurrence to Program including the following on cc, NOAA CFO, NBO Director, appropriate NBO Division Chief and analyst.
- 8) Package with CFO signature is filed by NBO for record.

Reprogramming information per the FY15 Senate Report 113-181

REPROGRAMMINGS, REORGANIZATIONS, AND RELOCATIONS

Section 505 contained in the "General Provisions" of title V provides procedures for the reprogramming of funds. To reprogram is to change the use of funds from the specific purposes provided for in the act and the accompanying report or, in the absence of direction from the Committee, from the specific purposes provided for in the administration's budget request. Each title of the bill has also traditionally included separate provisions that define permissible transfers of resources between appropriation accounts. These transfer authority provisions are also pursuant to section 505, and were initiated in the early 1990s to provide additional flexibility to the agencies under the subcommittee's jurisdiction.

The Committee expects each department and agency closely to follow the reprogramming procedures listed in section 505. These procedures apply to funds provided under this act, or provided under previous appropriations acts that remain available for obligation or expenditure in fiscal year 2015, or provided from any accounts in the Treasury available to the agencies funded by this act. Section 505 requires that the Committee on Appropriations be notified by letter, at least 15 days prior to reprogramming of funds, whether permanent or temporary, in excess of \$500,000 or 10 percent, whichever is less, between programs, projects or activities. This provision is also applicable in cases where several activities are involved with each receiving less than \$500,000. In addition, the Committee is to be notified of reprogramming

HANDBOOK TO NOAA ADMINISTRATIVE ORDER 200-7 (NAO 200-7) APPENDIX L

actions which are less than these amounts if such actions would have the effect of: committing the agency to significant funding requirements in future years; increasing funds or personnel by any means for any project or activity for which funds have been previously denied or restricted by Congress; creating new programs, offices, agencies or commissions or substantially augmenting existing programs, offices, agencies or commissions; relocating offices or employees; or reorganizing offices, programs, or activities.

The Committee also expects that any items that are subject to interpretation will be reported. The Committee is concerned that, in some instances, the departments or agencies funded within this appropriations act are not adhering to the Committee's reprogramming guidelines that are clearly set forth in this report and in section 505 of the accompanying bill. The Committee expects that each department and agency funded in the bill will follow these notification policies precisely and will not reallocate resources or reorganize activities prior to submitting the required notifications to the Committee.

The reprogramming process is based on comity between the Appropriations Committee and the administration. The Commerce, Justice, and Science, and Related Agencies appropriations bill provides specific program guidance throughout this report and tables accompanying the bill. The process is intended to provide flexibility to meet changing circumstances and emergency requirements of agencies, if there is agreement between the executive branch and the Congress that such a change is warranted. Reprogramming procedures provide a means to agree on adjustments, if necessary, during a fiscal year, and to ensure that the Committee is kept apprised of instances where nonappropriated resources are used to meet program requirements, such as fee collections and unobligated balances that were not considered in the development of the appropriations legislation.

In the absence of comity and respect for the prerogatives of the Appropriations Committees and Congress in general, the Committee will have no choice but to include specific program limitations and details legislatively. Under these circumstances, programs, projects, and activities become absolutes and the executive branch shall lose the ability to propose changes in the use of appropriated funds through the reprogramming process between programs, projects, and activities without seeking some form of legislative action.

The Committee expects each executive branch department and agency to manage its programs, projects and activities within the levels appropriated. Reprogramming or transfer requests shall be submitted only in the case of an unforeseen emergency or situation that could not have been anticipated when formulating the budget request for the current fiscal year.

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Reprogramming Determination Document

Title of Action:

Brief Summary of Action: *Keep BRIEF, shorter than description in memo which will be provided as a supplement*

Does this action require a reprogramming action? *Yes or No. If the answer is yes, NBO will work with the Program on a reprogramming action.*

Is this a reprogramming per Section 505?

Section 505 states, none of the funds provided under this Act, or provided under previous appropriations Act to the agencies funded by the Act that remain available for obligation or expenditure in fiscal year 2015, or provided from any accounts in the Treasury of the United States derived by the collection of fees available to the agencies funded by this Act, shall be available for obligation or expenditure through a reprogramming of funds that result in any of the actions listed in the table below.

<u>Section 505</u>	<u>(INSERT TITLE) Action</u>
1) Does this action create or initiate a new program, project or activity?	<i>All answers in this table need to be "No" to result in concurrence there is no reprogramming. Elaborate as necessary.</i>
2) Eliminate a program, project or	
3) Increase funds or personnel by any means for any project or activity for which funds have been denied or restricted?	
4) Relocate an office or employees?	
5) Reorganize or renames offices, programs or activities? <i>This is defined as affecting those offices identified in the Department Organization Order (DOO) 25-5. If identified in DOO 25-5, does this action change the location or function of that office as described in the DOO 25-5?</i>	<i>DOO 25-5 can be found here: http://www.osec.doc.gov/opog/dmp/doo25_5.html If the Program is described in the DOO, please explain how the action does not result in a change in that description. If it does, a reprogramming might be necessary.</i>
6) Contract out or privatizes any functions or activities presently performed by Federal employees?	
7) Augment existing programs, projects or activities in excess of \$500,000 or 10 percent, whichever is less, or reduce by 10 percent funding for any program, project or activity, or numbers of personnel by 10 percent?	
8) Result from any general savings,	

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including savings from a reduction in personnel, which would result in a change in existing programs, projects or activities as approved by Congress?	
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Supporting Documents:

- Reorganization Memo from AA/DAA of LO to CFO