



NATIONAL NUCLEAR SECURITY ADMINISTRATION

BOP-002.1a

Dated: 9/10/04

NATIONAL NUCLEAR SECURITY ADMINISTRATION ORGANIZATIONAL CHANGE POLICY

1. OBJECTIVE. To establish the responsibilities, authorities and procedure for developing and implementing organizational changes and transfers of function for the National Nuclear Security Administration (NNSA).
2. APPLICABILITY. All NNSA elements.
3. REQUIREMENTS.
 - a. An organizational change constitutes an official legal document and becomes part of the historical record of NNSA. Therefore, managers shall develop and submit organizational change proposals in accordance with procedures, which are addressed in attached guidelines.
 - b. Managers shall consult with their respective Human Resources (HR) consultants when considering and formulating organizational change proposals. When a function is being considered for deletion, it must be confirmed that either another organization within NNSA is performing the function, the function is no longer needed to support NNSA's mission, or mandatory budgetary constraints force it to be so. When a function is to be added, it must be confirmed that no other organization within NNSA is performing the same function, or if so, it is essential to duplicate the function due to specific programmatic requirements and the function is clearly tied to mission of NNSA as specifically reflected in the goals and performance measures of NNSA's strategic plan. When a function is added or deleted, the above justification will be included in the reporting documentation.
 - c. Organization changes shall not be announced or implemented until approval is granted and appropriate union coordination (if applicable) and other pre-release clearances have been obtained. Before announcing the approved organizational change, the organizational change package, including the approved action memo, current and proposed mission and functions, current and proposed organization charts, and employee crosswalk shall be forwarded to HQ/HR for regulatory review, to obtain concurrence from appropriate HQ program managers, and submission to the Department's Workforce Analysis and Planning Division for implementation and

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issuance of new organization codes/routing symbols. HR/SC will process employee crosswalks for the Site Offices and Service Center, and HQ/HR will process employee crosswalks for Headquarters.

- d. All implementation actions must be initiated within 30 days after the date of action memo approval (sample memo attached with Guidelines), including the submission of updated position descriptions for affected positions, with a target of completion within 120 days after the organizations change

4. RESPONSIBILITIES.

- a. Administrator for Nuclear Security. Approves or delegates authority to approve, organizational changes and transfers of function (1) across competitive areas and (2) across first tier components.
- b. HQ 1st Tier Managers/Director, Service Center/Site Office Managers. Approve organizational changes within their organizations. Managers shall consult with their HR Offices before approving and announcing organizational changes.
- c. Supervisors and Managers. (1) Coordinate with HR consultants to develop organizational design concepts, (2) develop organizational change proposals and, (3) submit proposals that are based on organizational and/or mission needs, in keeping with good management practices and available resources.
- d. NNSA Director of Human Resources. (1) Develops policies and procedures on approving organizational change in NNSA, (2) makes authoritative determination as to when and where transfer of function exists and the potential employee impacts of an organizational change, and (3) manages processes by which employee adversely impacted by organizational change receive entitlements, such as Career Transition Assistance Program (CTAP), Interagency Career Transition Assistance Program (CTAP), buyouts, severance pay, notices, etc.
- e. Service Center Human Resource Department (SC/HR). (1) Provides advice and guidance on policies and procedures on effective organizational change development and implementation within the Service Center and Site Offices, (2) assists clients in preparing change documentation and implementing approved changes,
- f. Headquarters Office of Human Resources (HQ/HR). (1) Provides advice and guidance on policies and procedures on effective organizational change implementation for transfer of functions across competitive areas and across first tier components throughout all NNSA, and for organization changes within HQ, (2) assists clients in preparing change documentation and implementing approved changes, (3) provides a

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regulatory review of all organizational change packages, obtains concurrence from appropriate HQ program managers, and submits package to the Department's Workforce Analysis and Planning Division for implementation, (4) maintains a central repository for all organizational change packages, and (5) ensures that bargaining unit obligations as prescribed in law, regulation, or contract with a recognized bargaining unit are met prior to the implementation of any organizational change.

5. POINT OF CONTACT. Assistant Human Resources Director for Policy and Workforce Planning (NA-641), 301-903-5192.



Michael C. Kane
Associate Administrator for
Management and Administration

Attachment:

A Guideline for Initiating, Developing, Approving, and
Implementing an Organizational Change Within NNSA

A Guideline for Initiating, Developing, Approving, and Implementing an Organizational Change Within NNSA

1. **ORGANIZATIONAL CHANGE APPROVAL AUTHORITY.**

- a. Administrator for Nuclear Security. Approves, or delegates authority to approve, organizational changes and transfers of function (1) across competitive areas and (2) across first tier components.
- b. HQ 1st Tier Managers/Director, Service Center/Site Office Managers. Approve organizational changes within their organizations. Managers shall consult with their respective Human Resource (HR) Office before approving and announcing organizational changes.

2. **RESPONSIBILITIES & AUTHORITIES.**

- a. Supervisors and Managers. (1) Coordinate with HR consultants to develop organizational design concepts, (2) develop organizational change proposals and, (3) submit proposals that are based on organizational and/or mission needs, in keeping with good management practices and available resources.
- b. NNSA Director of Human Resources. (1) Develops policies and procedures on approving organizational change in NNSA, (2) makes authoritative determination as to when and where transfer of function exists and the potential employee impacts of an organizational change, and (3) manages processes by which employees adversely impacted by organizational change receive entitlements, such as Career Transition Assistance Program (CTAP), Interagency Career Transition Assistance Program (ICTAP), buyouts, severance pay, notices, etc.
- c. Service Center Human Resource Department (SC/HR). (1) Provides advice and guidance on policies and procedures on effective organizational change development and implementation within the Service Center and Site Offices, and (2) assists clients in preparing change documentation and implementing approved changes.
- d. Headquarters Office of Human Resources (HQ/HR). (1) Provides advice and guidance on policies and procedures on effective organizational change implementation for transfer of function across competitive areas and across first tier components throughout all NNSA, and for organization changes within HQ, (2) assists clients in preparing change documentation and implementing approved changes, (3) provides a regulatory review of all organizational change packages, obtains concurrence from appropriate HQ program managers, and submits package to the Department's Workforce Analysis and Planning Division for implementation; (4) maintains a central repository for all organizational change packages, and (5) ensures that bargaining unit obligations as prescribed in law, regulation, or contract with a recognized bargaining unit are met prior to the implementation of any organizational change.

3. **REORGANIZATION PRINCIPLES/OBJECTIVES.**

- a. An organization change constitutes an official document and, therefore, becomes part of the historical record of NNSA. Therefore, managers shall develop and submit organizational change proposals in accordance with procedures addressed in these guidelines.
- b. Managers shall structure their organizations consistent with the following principles:
 - 1) Work towards creating organizations that feature a single point of accountability for a particular product or service, thus providing one organizational contact for external customers.
 - 2) Seek to eliminate overlaps and redundancies in responsibility, so that it is clear who has lead responsibility and where accountability resides.

- 3) Enhance integration of activities and decision-making across functional lines (avoid fragmenting organizations - commonality of functions and processes should drive the structure of the organization).
- 4) Organize to foster work processes that facilitate driving decision authority and responsibility lower in the organization (organizations shall determine if delegated authorities would reduce the number of layers that a programmatic action passes through before it reaches an authoritative decision point.)
- 5) Work towards flattening the organization by reducing layers of management. For most organizations, there shall be no more than one layer of management below the Division Director level.
- 6) Properly establish supervisory and team leader positions, i.e., establish team leader positions where they are needed to operate as work leaders and not as full supervisors, and establish supervisory positions when needed to perform the full range of supervisory responsibilities.
- 7) Organize in a manner that best suits the purpose to be accomplished, regardless of the way in which other, dissimilar groups are organized (e.g., different groups will likely choose different methods through which they will achieve their overall purpose due to having different functional responsibilities, different processes and a different customer base).
- 8) Consider utilizing a project management approach, rather than creating an organizational entity, where appropriate, e.g., when an activity is of limited duration and a project lead can be assigned and supported by other organizations to ensure project success.

4. **THREE STEP PROCESS FOR ORGANIZATION CHANGES.**

a. **Step One – Consult With Your Respective (HQ/SC) HR Professional.** Initial HR Consultation may include:

- 1) Meeting with your HR consultant to discuss organizational design concepts. Topics may include:
 - (a) Missions/functions; (for addition or deletion of functions, see b. 1) below)
 - (b) Your proposed structure;
 - (c) Core processes/roles and responsibilities;
 - (d) Specific programs/projects/functions;
 - (e) Current vs. proposed structures/patterns of work
 - (f) Nature of dealings with other organizations within and outside of DOE/NNSA;
 - (g) Personnel/management issues with which the organization is contending, e.g. aging workforce, reduced/enhanced mission, etc.;
 - (h) Individual assignments of work; and
 - (i) Staffing priorities.
- 2) Discussion of organizational design ideas, concepts, preliminary thoughts and opinions, as well as an opportunity for the HR staff to answer any immediate questions.
- 3) Establishment of contacts for follow-up meetings to discuss issues such as individual assignments of work, delegations of authority and set-up schedule for meetings, as well as the nature and timing of deliverables.

b. **Step Two – Prepare Documentation.**

- 1) Prepare an action memorandum (sample Attachment 1) approving or requesting approval of organizational and/or staffing adjustments. Organizational changes across competitive areas; across first tiers; and the creation, abolishment or reassignment of a Senior Executive will be approved by the Administrator, through the HQ/Office of Human Resources. When a function is being considered to be deleted, it must be confirmed that either another organization within NNSA is performing the function, the function is no longer needed to support NNSA's mission, or mandatory budgetary constraints force it to be so. When a function is to be added, it must be confirmed that no other organization

within NNSA is performing the same function, or if so, it is essential to duplicate the function due to specific programmatic requirements and the function is clearly tied to the mission of NNSA as specifically reflected in the goals and performance measures of NNSA's strategic plan. When a function is added or deleted, the above justification will be included in the reporting documentation.

- 2) HQ Managers (NA-10, 20, 30, 40, 50, 60), and the Director of the NNSA Service Center, have the authority to approve organizational changes within their respective organizations, but shall consult with NA-64 prior to approval or announcing any changes. The organizational change package, including the approved action memo, current and proposed mission and functions, current and proposed organization charts, and crosswalk shall be forwarded to HQ/HR (NA-64) prior to announcing any changes. NA-64 will provide a regulatory review, obtain concurrence from appropriate HQ program managers, and submit the package to the Department's Workforce Analysis and Planning Division (ME) for implementation. HQ/HR will process employee crosswalks for HQ organizational changes once the effective date and any new organization codes/routing symbols have been provided by ME.
- 3) Site Office Managers have the authority to approve organizational changes within their respective organizations, but must consult with the Human Resources Department at the Service Center. The organizational change package, including the approved action memo, current and proposed mission and functions, current and proposed organization charts, and crosswalk shall be forwarded to HQ/HR (NA-64) prior to announcing any changes. NA-64 will provide a regulatory review and submit the package to the Department's Workforce Analysis and Planning Division (ME) for implementation. The SC/HR shall process the employee crosswalk once the effective date and any new organization codes have been provided by ME.
- 4) The Action Memo shall contain at a minimum, the following information:
 - (a) A description of the proposed change, and the justification for the change; expected program impact and staffing impact; management benefits and costs; and an explanation of any expected implementation problems.
 - (b) A copy of the current and proposed organization charts for the affected organization, which shows authorized positions for each organizational component both before and after the proposed change.
 - (c) Current and proposed mission and function statements (sample Attachment 2) for affected organization components. Mission and functions shall be established which are clearly envisioned and articulated. A given function should typically be assigned to one organization to avoid overlap.
 - (d) Staffing crosswalk (sample Attachment 3) to identify movement of staff from one element to another of current employees and proposed vacancies. Crosswalk shall indicate whether employee is being realigned or reassigned. HR consultants meet with managers to review the position descriptions of those employees affected to see whether a realignment or reassignment action (change to their position description) needs to be initiated.
 - (e) Provision of this organizational implementation information shall not be construed as approval of any additional staffing or Senior Executive resources, or the grade levels of positions included in the new organization. Classification determinations at the Senior Executive level are made by the Executive Review Board and below that level by the servicing personnel office.

c. **Step Three - Implement the Organization.** The Implementation steps will include the following:

- 1) Submission by NA-64 of the proposed reorganization and any related relocations to union for formal review and comment to meet Collective Bargaining Agreement negotiation obligation, if required.
- 2) After organizational approval has been granted, the organizational change package is submitted to NNSA HQ/HR for transmission of summary changes to the Department's Workforce Analysis and Planning Division to request new organization codes and routing

symbols to reflect the new organization structure. At least two weeks prior notice is required to assure processing in a timely manner.

- 3) NNSA HQ/HR will issue new organizational codes and routing symbols to affected organizations.
- 4) All actions for Senior Executive Service (SES), Excepted Service level, Scientific and Technical (ST), and Senior Level (SL) employees must be sent to the Executive Review Board (ERB) for approval.
- 5) All implementation actions must be initiated within 30 days after the date of approval, including the submission of updated position descriptions for affected positions, with a target of completion within 120 days after the organization change has been approved.
- 6) Organization changes shall not be announced or implemented until approval is granted and appropriate union coordination (if applicable) and other pre-release clearances have been obtained.

Attachments:

1. Sample Action Memorandum
2. Sample Mission & Function Statement
3. Sample Crosswalk

ATTACHMENT 1

SAMPLE ACTION MEMORANDUM

MEMORANDUM FOR: (Approving Official Name)
THRU: (As Appropriate)
FROM: (Requesting Official)
SUBJECT: ACTION: Approve Organizational Change
ISSUE: Request Approval for Organizational and Staffing changes
DISCUSSION: (Discuss background, organizational benefits, functional and staffing changes)

APPROVE: _____

DISAPPROVE: _____

DATE: _____

IMPLEMENTATION AND NEXT STEPS

HQ/HR will do the following:

- Provide to NTEU if applicable. It is proposed that this reorganization be implemented 2 weeks after NTEU completes its review as required under Article 48 in the 2001 Collective Bargaining Agreement Between DOE Headquarters and NTEU.
- Provide Summary of Changes to Workforce Analysis & Planning Division to obtain new organization codes and routing symbols. Issue new codes and routing symbols.

HQ/SC HR will do the following:

- Validate/update the position descriptions with the client.
- Validate/update the performance plans with the client.
- Propose effective date within 30 days of approval.

ORGANIZATION, AUTHORITIES, AND FUNCTIONS

Organization Title

General Statement of Functions:

First Tier Organization:

Second Tier Organizations:

Third Tier Organizations:

Each organization title should be in bold and underlined, and functions for each organization should be written in paragraph format – no bullets.

