

BUSINESS OPERATING PROCEDURE

BOP-02.01A

Approved: 12-7-17

ORGANIZATIONAL CHANGE POLICY



NATIONAL NUCLEAR SECURITY ADMINISTRATION Management and Budget

CONTROLLED DOCUMENT

OFFICE OF PRIMARY INTEREST (OPI):

AVAILABLE ONLINE AT:

Human Resources

<https://nnsaportal.energy.gov/intranet/na-mb/na-mb-20/pages/nnsa-policy.aspx>

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Organizational Change Policy

1. PURPOSE. To establish the responsibilities, authorities, and procedures for developing and implementing organizational changes (reorganizations) and transfers of function within the National Nuclear Security Administration (NNSA).
2. CANCELLATION. BOP-02.01, *Organizational Change Policy*, dated 11-30-12.
3. APPLICABILITY.
 - a. Federal. This applies to all NNSA federal elements.
 - b. Contractors. Does not apply to contractors.
 - c. Equivalency. In accordance with the responsibilities and authorities assigned by Executive Order 12344, codified at 50 United States Code sections 2406 and 2511, and to ensure consistency through the joint Navy/DOE Naval Nuclear Propulsion Program, the Deputy Administrator for Naval Reactors (Director) will implement and oversee requirements and practices pertaining to this Directive for activities under the Director's cognizance, as deemed appropriate.
4. SUMMARY OF CHANGES.
 - a. Updates NNSA approval authority: Approval authority of NNSA organizational change requests resides with the Administrator unless specifically delegated. Approval of an organizational change must be granted prior to communication of the change or implementation of personnel actions.
 - b. Revises job classification process: All position descriptions that will be revised due to proposed organizational changes must be updated for classification purposes. These position descriptions will be classified prior to approval.
 - c. Revises performance plan requirement: Performance plan changes due to proposed organizational changes must be documented and ready for implementation within 30 days of the established reorganization effective date.
 - d. Revises Responsibilities for the following: Director, Human Resources; Employment and Workforce Planning Division (EWPD); NNSA's Executive Resources Board; Heads of NNSA Elements; Associate Administrator for Management and Budget; and Human Resources Staffing Consultants (HRC).

5. REQUIREMENTS.

An organizational change proposal constitutes an official agency record and becomes part of the historical record of NNSA. NNSA leaders must develop and send organizational change proposals in accordance with procedures contained in this BOP.

- a. Organizational change proposals must be developed based on organization, mission needs, and in keeping with appropriate management practices and available resources.
- b. Organizational leaders must consult with assigned HRC and the EWPD within Human Resources when considering and formulating organizational change proposals.
- c. Position descriptions that will be revised due to a proposed organizational change must be identified, updated, and classified prior to approval.
- d. Changes to performance plans due to a proposed organizational change must be documented and ready for implementation within 30 days of the reorganization effective date.
- e. When a duplicate function is being considered for abolishment it must be confirmed that another organization within NNSA is performing the function, the function is no longer needed to support NNSA's mission, or mandatory budgetary constraints require the function to be abolished.
- f. When a function is to be added, it must be confirmed that no other organization within NNSA is performing the same function. If another organization is performing the same function, the reorganization proposal must justify that duplication of the function meets specific programmatic requirements.
- g. Additional functions should be clearly tied to the mission of NNSA, and be reflected in the goals and performance measures of NNSA's strategic plan.
- h. When a function is added or abolished a justification must be included in the organizational change package.
- i. An organizational change package must consist of:
 - (1) draft action memo,
 - (2) current and proposed Organization, Authorities and Functions statements,
 - (3) employee crosswalk, and
 - (4) current and proposed organization charts.
- j. The organizational change package must be sent to Human Resources, EWPD for

regulatory review, records management, and communication coordination.

- k. Approved NNSA organizational change packages are sent by EWPD to DOE's Workforce Analysis and Planning Division for implementation and issuance of new organization codes and routing symbols.

6. RESPONSIBILITIES.

- a. Administrator serves as the final approving authority for NNSA organizational changes and transfer of function requests.
- b. Associate Administrator for Management and Budget reviews and concurs on final organizational change packages prior to approval by the Administrator.
- c. Heads of NNSA Elements (Deputy Administrators, Associate Administrators, Field Office Managers, and General Counsel).
 - (1) Consult with EWPD for a proposed organizational change to meet the organization's mission and established performance goals.
 - (2) Collaborate with EWPD on the organizational change effort.
 - (3) Send organizational change packages to the EWPD for regulatory review.
 - (4) Consult with EWPD on approved organizational changes prior to announcing those changes to the workforce. When more than one office or organization within an element is involved in a reorganization, the Head of the NNSA Element will communicate the approval and changes within the element, and to Management and Budget's Planning, Programming, Budget and Evaluation, and Business Services.
 - (5) Seek approval of organizational changes from the Administrator.
- d. Director, Human Resources.
 - (1) Develops policies and procedures on approving organizational changes.
 - (2) Discusses, as needed, with Heads of NNSA Elements, proposed organizational changes in NNSA.
 - (3) Serves as the technical authority for the transfer of function process and the potential employee impacts of an organizational change.
 - (4) Informs the Associate Administrator for Management and Budget of any proposed organizational changes.
 - (5) Participates in organizational change approval meetings with the affected Head of NNSA Element and the Administrator.

- e. Supervisors and Office Directors.
- (1) Coordinate with HRC and EWPD on proposed organizational changes.
 - (2) Develop draft organizational change documents (e.g., action memorandum, current and revised Organization, Authorities, and Functions (OAF) statements, current and revised organization charts, and preliminary employee crosswalks).
 - (3) Coordinate with HRC to revise existing or write projected position descriptions for classifying prior to Administrator approval.
 - (4) Review performance plans of affected employees for implementation readiness within 30 days of the established reorganization effective date.
 - (5) Send proposed organizational change request packages for concurrence and action to the Head of the NNSA Element requesting the change, after EWPD has reviewed and determined that the package is complete.
- f. Human Resources Staffing Consultant (HRC).
- (1) Provides guidance and assistance to supervisors and leaders on proposed organizational changes.
 - (2) Coordinates with EWPD staff to refine organizational design concepts and to advise and consult with the requesting organization on associated matters.
 - (3) Reclassifies affected position descriptions to include organizational changes prior to approval.
 - (4) Advises the HR Employee Management Relations Division of approved changes to be included in performance plans, and that updates are to be completed within 30 days of the established reorganization effective date for all positions affected.
 - (5) Works with Staffing Assistants to code and process personnel actions in the Corporate Human Resources Information System (CHRIS) to effect organizational changes, when required.
- g. Employment and Workforce Planning Division (EWPD).
- (1) Provides advice and guidance to NNSA Elements on organization design principles, and adherence to position management best practices.
 - (2) Assists NNSA Elements in preparing organizational change packages.
 - (3) Briefs the Director of Human Resources and Deputy Associate

Administrator for Management on requested organizational changes, and provides periodic status of pending organizational change actions.

- (4) Performs a regulatory review of all organizational change request packages, prior to sending the formal packages to the Associate Administrator for Management and Budget for review and concurrence.
- (5) Sends completed and approved organizational change packages to the Department's Workforce Analysis and Planning Division for implementation of organizational changes.
- (6) Coordinates employee crosswalk with DOE's (CHRIS) functional team.
- (7) Maintains a central repository for all organizational change packages.
- (8) Provides final notification of approved organizational changes and effective dates of actions implementing the change to NNSA Elements.

h. NNSA Executive Resources Board (ERB).

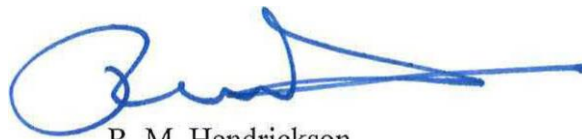
- (1) Reviews organizational change request packages when involving Senior Executive Service (SES), Senior Level (SL), Scientific and Technical (ST), and other positions, as required by the NNSA ERB Charter.
- (2) Classifies revised position descriptions for affected SES, SL, ST, and other positions by the established reorganization effective date.

7. REFERENCES. See Appendix 3.

8. DEFINITIONS. See Appendix 1.

9. CONTACT. Employment and Workforce Planning Division at (505) 845-5474.

BY ORDER OF THE ADMINISTRATOR:



R. M. Hendrickson
Associate Administrator
for Management and Budget

Appendixes:

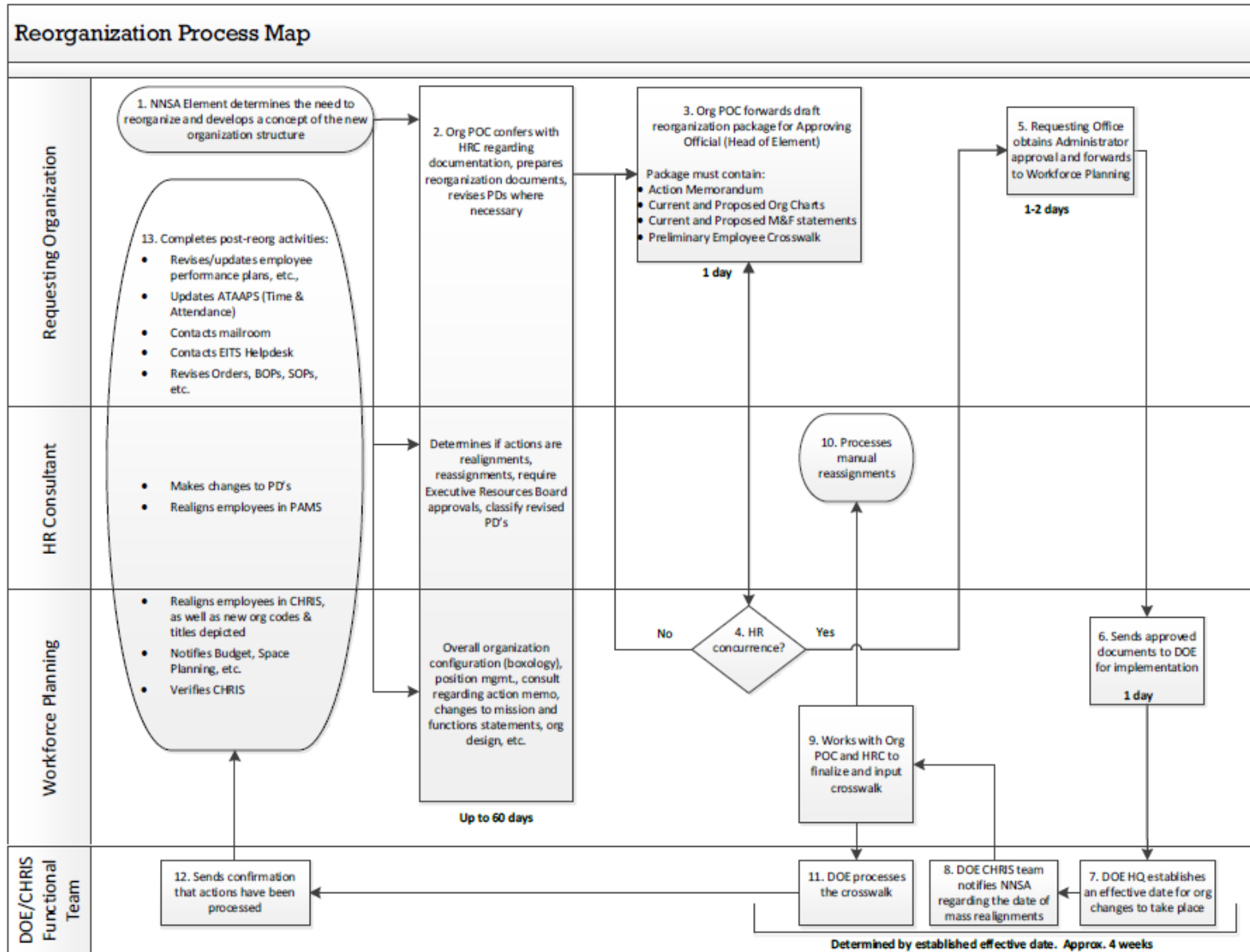
1. Definitions
2. Reorganization Process Map
3. References

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APPENDIX 1. DEFINITIONS

- a. **Change in Organizational code or title** – the abolishment of an existing organizational code or title and establishment of a new code or title. (A reorganization package is required by DOE to change Organization codes and titles).
- b. **Competitive Area** – For reduction in force (for example, during a Transfer of Function), that part of an agency within which employees are in competition for retention. Generally it is restricted by what is considered a *local commuting area*.
- c. **Corporate Human Resources Information System (CHRIS)** – the Department of Energy’s official personnel system of record.
- d. **Employee Crosswalk** – Employee roster that identifies the movement of staff from one organizational element to another. It also indicates whether an employee is being realigned or reassigned.
- e. **Employment and Workforce Planning** – Human Resources Division which manages a range of operational aspects of human resources, including recruitment, staffing, position management, classification, and compensation. This division is also responsible for programs related to workforce organizational change processes.
- f. **NNSA Executive Resources Board (ERB)** – The entity which considers and makes recommendations to the Administrator with regard to executive personnel actions affecting the SES, SL, ST, NNSA Excepted Service (EN) positions (Pay Band IV positions which currently, or through proposed pay setting or increase would result in a rate comparable to, or exceeding, the current midrange of the SES salary table and all Pay Band V positions), and candidates proposed for career and time-limited appointments of these positions.
- g. **Human Resources Staffing Consultant (HRC)** – Provides day-to-day advice and guidance to leaders, supervisors, and employees regarding Human Resources issues, particularly focused in the staffing area.
- h. **NNSA Element** – Headquarters and field offices that report directly to the Administrator.
- i. **Organization, Authorities, and Functions (OAFs)** – Organization and Authorities are part of a written declaration of the organization’s core purpose, focus, and authorizations that normally remain unchanged over time. Functions are operations that are performed routinely to carry out a part of the mission of the group.
- j. **Organization Codes and Routing Symbols** – An Organization Code is a unique 10-digit identifier for every organization within DOE and NNSA. Because it is an official ID, it cannot be reused and cannot refer to more than one organization in DOE. A Routing Symbol is a 4 to 9-digit code used to identify organizations (examples, NA-1, NA-APM-10).

- k. **Reorganization** – Planned elimination, addition, or redistribution of functions or duties in an organization.
- l. **Senior Executive Service (SES)** – Positions classified senior to GS-15 that include duties involving one or more of the functional criteria (executive or managerial) identified in law.
- m. **Senior Level (SL)** – Positions that are not SES positions which are classified senior to GS-15 based on other factors.
- n. **Scientific and Technical (ST)** – Positions classified senior to GS-15 that are not SES positions (i.e., do not involve executive and management responsibilities) and are engaged in research and development in the physical, biological, medical, or engineering sciences, or a closely related field.
- o. **Transfer of Function** – Movement of work (function) from one competitive area to one or more other competitive areas.



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APPENDIX 3: REFERENCES

- a. 50 U.S.C. 2402, Section 3212 (f) of P. L. 106-65 (the *National Nuclear Security Administration Act*).
- b. DOE Corporate Human Resources Information System (CHRIS) [User's Manual](#), dated September 21, 2015.