

NOAA Administrative Order 200-7A Supplemental Handbook



**Office of
Human Capital Services**

People focused. Mission driven.

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I. INTRODUCTION

A. Purpose

This handbook provides procedures to initiate, process, and implement changes to the National Oceanic and Atmospheric Administration's (NOAA) organizational structure.

In order to implement a reorganization, organizations must provide all required documentation to ensure appropriate alignment of people and utilization of financial resources. The information is entered into HR Connect, including the National Finance Center (NFC), our official payroll and personnel system; NOA094, the NOAA organization code system; and the Department of Commerce enterprise financial management system. Documents are also required to update the NOAA Organizational Handbook, which documents management structure and organizational alignment within NOAA organizations.

This handbook supersedes the Supplemental Guidance Handbook to NAO 200-7, Initiating and Processing Organizational Changes (dated October 8, 2016).

B. Scope

The provisions of this handbook are applicable to all proposed NOAA organization changes.

C. Summary of Major Changes

This handbook was updated to align with the guidance in Department of Commerce (DOC) Human Resources (HR) Bulletin #252, FY21 on Reorganization Requests. The major changes are additional approval requirements from DOC and revised documentation requirements. The processes herein have also been updated to reflect the all-electronic nature of the reorganization program. Since January 1, 2020, paper materials are no longer accepted in this program due to new policies issued by the National Archives and Records Administration, which prohibit the creation of new hardcopy documents that are destined for permanent storage.

D. References

- [Department Administrative Handbook \(DAO\) 200-7, Department Organization Handbook Series](#)
- [DOO 25-5, National Oceanic and Atmospheric Administration](#). This 2015 edition is currently being updated. Please refer to your Reorganization Program Manager for the most recent edition.
- [Office of Management and Budget \(OMB\) Circular A-11, Preparation, Submission and Execution of the Budget of April 2021](#)
- [Office of Personnel Management \(OPM\) Workforce Reshaping Operations Handbook](#)
- [OPM Guide to Processing Personnel Actions](#)
- [DOC HR Bulletin #252, FY21 on Reorganization Requests](#)
- [OHCS Position Management Handbook](#)

II. NOAA REORGANIZATION CATEGORIES

NOAA reorganizations are classified into five categories based on their complexity, scope, and purpose. Categories 1, 2 and 3 are similar in that Congressional review and approval are not required. All reorganizations — with the exception of Category 1 reorganizations, which require no changes to organization titles or codes — must receive approval from the DOC Office of Human Resource Management (OHRM) in addition to Bureau-specific requirements in order to be effectuated.

The following summarizes the five reorganization categories. The Office of Human Capital Services (OHCS) Reorganization Program Manager will assess and determine each reorganization's most likely category as part of the initial consultative meeting. The Office of the Chief Financial Officer (OCFO) NOAA Budget Office (NBO) is the final authority on whether or not reprogramming is required for each reorganization. If reprogramming is required and this was not determined as part of the initial consultative meeting, a reorganization may be reclassified as a category 4 or 5 reorganization (the two categories which involve reprogramming). All reorganization requests must be reviewed by NBO to ensure compliance with Congressionally mandated notification requirements as outlined in Section 505 of Title V (General Provisions) of the annual Appropriations Act.

Category 1: Movement of 10 or More Employees via Mass Realignment/Reassignment without a Change to the Organizational Code(s) or Organizational Name(s)

- No new Organizational Codes established
- No DOO 25-5 Changes or Reprogramming

Category 2: Establishment of New Organizational Code(s) or Rename Existing Organizational Code(s) for Support (non-mission) Organizations

- No DOO 25-5 changes or reprogramming
- Staff Office (AGO, OCAO, OCFO, OCIO, OHCS) and Line Office Supporting Organizations. An example of a "Line Office Supporting Organization" is an organization nested within a Line Office that performs mostly support work (for example, Financial Analysis)

Category 3: New Organizational Code(s) or Rename Existing Organizational Code(s) for Mission-performing Organizations (Line Offices)

- No DOO 25-5 changes or reprogramming
- Line Office

Category 4: DOO 25-5 Changes, No Reprogramming of funds, for both mission and support organizations. Note that while funds are not reprogrammed in this category, the process will constitute a non-monetary reprogramming event due to the significant structural changes being proposed due to the DOO 25-5 changes.

- Line Office/Staff Office

Category 5: Reprogramming with/without DOO 25-5 Changes for Both Mission and Support Organizations

- Line Office/Staff Office

NOTE: Each reorganization category is comprised of four phases.

1. **Consultation Phase**: Line Office/Staff Office contacts OHCS to discuss changes and bargaining unit agreement implications, if any. This meeting will always include the servicing Human Resources (HR) Business Advisor, OHCS Reorganization Program Manager, and the designated Labor Relations (LR) Specialist, regardless of bargaining unit presence in the requesting organization.
2. **Design Phase**: Line Office/Staff Office and OHCS create required documents for the reorganization package.
3. **Approval Phase**: Reorganization package is routed through appropriate channels for approval
4. **Implementation Phase**: Reorganization package is forwarded to Enterprise Services for processing.

A process map for each reorganization category is provided in [Appendix B](#).

III. REQUIREMENTS

A. NAO 200-7A, Initiating and Processing Organizational Changes

Organizational changes must be based on sound principles of organizational design. Organizational structures must be designed to be economical and efficient, avoid unnecessary management layers, reduce administrative overhead, and establish clear lines of authority and accountability. Modifications may be required for any proposed organizational change(s) that do not incorporate these principles.

1. The directions in this handbook must be followed in titling key personnel positions and organizations.
 - a. [Appendix C](#) contains a table of approved organization titles for NOAA components.
 - b. [Appendix D](#) contains a list of key position titles.
2. Organizations and positions must be planned so they are logical, internally consistent, and avoid functional overlap and fragmentation.
3. Staff resources must 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 must be minimized, and emphasis placed on line (i.e., first level) responsibilities. Team leaders may be used as alternatives to supervisors as appropriate.
5. The number of organizational levels must be minimized. When appropriate, authority must be delegated and centralized to the lowest appropriate working level. Single sub-units (i.e., one division, one branch, one section, one unit) must not be established (e.g., a subdivided branch must have two or more sections).
6. Positions must be established in accordance with applicable position classification standards and must be consistent with current mission, functions, and levels of work assigned to the organization while assuring full position utilization.
7. Programs spanning two or more NOAA organizations must 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.
8. Prior to implementing an organizational change, NOAA Labor Relations must be consulted for their written determination of whether the proposed organization change creates an obligation to give notice to, and if necessary to bargain with a Union.

B. OHCS Position Management Handbook

Sound position management must be practiced when designing organizational structures. The [OHCS Position Management Handbook](#) supplements the requirements of items 1 through 8 above. As no two organizations are identical, the applications of the principles outlined in the OHCS Position Management Handbook may differ in each situation.

C. Department Organization Order 25-5, National Oceanic and Atmospheric Administration

[Department Organization Order \(DOO\) 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). The OHCS Reorganization Program Manager is responsible for notifying the Office of the Deputy Under Secretary of any changes to the DOO 25-5 to enable that office to make the necessary changes.

D. OHCS Advisory Consultation

OHCS is responsible for coordination, compliance review, and transmission of all reorganization/restructuring requests. Therefore, an advisory consultation meeting must be held prior to assembling the reorganization transmittal package. The requesting organization must contact the servicing HR Business Advisor to schedule the advisory meeting. A list of HR Business Advisors can be found on the OHCS intranet: <https://sites.google.com/noaa.gov/ohcs/contacts-roles/office-of-human-capital-services/consulting-services-division/business-advisors>.

E. Reorganization Change Transmittal Packages

The requesting organization must follow the procedures of this handbook when preparing for submission of a proposed organizational revision.

III. AUTHORITY TO APPROVE ORGANIZATION CHANGES

Approval authority as specified below cannot be re-delegated. Once the appropriate approval within NOAA has been received, all packages, with the exception of Category 1 reorganizations, which require no changes to organization titles or codes, must be approved by the DOC Director for the Office of Human Resources Management (OHRM) and Chief Human Capital Officer before implementation. This requirement is in addition to other approving officials listed in the table below. For all reorganization categories, the designated OHCS Workforce Relations Division Labor Relations Specialist must indicate labor relations clearance on the CD-15 form.

Changes that affect positions in the Senior Executive Service (SES), Scientific or Profession (ST), or Senior Level (SL) such as newly established, revised, or abolished positions, must be reviewed by the DOC Office of Executive Resources and approved by the DOC Chief Financial Officer and Assistant Secretary for Administration through the Director for OHRM and Chief Human Capital Officer. In some cases, SES, SL, and ST staff will not be directly impacted by reorganizations, but their span of control may be impacted by staff moves. In cases where the number of direct reports to an SES, SL, or ST will change significantly, the foregoing steps must also be completed.

Category	Description	Approving Authority
1	Movement of 10 or more employees without a Change to the Organizational Code(s) or Organizational Name(s)	Approved by the LO Assistant Administrators/Deputy Assistant Administrators; the Director, OHCS; and the Deputy Under Secretary for Operations (DUS/O)
2	Establishment of New Organizational Code(s) or Rename Existing Organizational Code(s) for support (non-mission) organizations (Staff Offices)	<ol style="list-style-type: none"> <li data-bbox="703 1251 1453 1434">1. Approved by the Under Secretary or Deputy Under Secretary for Operations based on reporting relationships as an initial approval step known as the "Approval in Principle" memorandum <li data-bbox="703 1434 1453 1640">2. Line Office Support Organization changes are approved by the LO Assistant Administrators/Deputy Assistant Administrators; Director, OHCS; Deputy Under Secretary for Operations (DUS/O); DOC Office of Budget; and the Director, DOC OHRM

Category	Description	Approving Authority
3	New Organizational Code(s) or Rename Existing Organizational Code(s) for mission-performing organizations (Line Offices)	Approved by the LO Assistant Administrators/Deputy Assistant Administrators; Director, OHCS; Deputy Under Secretary for Operations (DUS/O); DOC Office of Budget; and the Director, DOC OHRM
4	DOO 25-5 changes without reprogramming for both mission and support organizations	<ol style="list-style-type: none"> 1. Approved by all approvers listed above in <i>Category 3</i>, and the DOC Chief Financial Officer and Assistant Secretary for Administration (CFO/ASA). 2. These categories of reorganizations require both Congressional notification <u>and</u> approval before they may be made effective. The specific committees required for approval are: <ul style="list-style-type: none"> ○ Senate Committee on Appropriations, Subcommittee Commerce, Justice, Science and Related Agencies ○ House Committee on Appropriations, Subcommittee on Commerce, Justice, Science and Related Agencies
5	Reprogramming with/without DOO 25-5 changes for both mission and support organizations	<ol style="list-style-type: none"> 1. Approved by all approvers listed above in <i>Category 3</i>, and the DOC Chief Financial Officer and Assistant Secretary for Administration (CFO/ASA). 2. These categories of reorganizations require both Congressional notification <u>and</u> approval before they may be made effective. The specific committees required for approval are: <ul style="list-style-type: none"> ○ Senate Committee on Appropriations, Subcommittee Commerce, Justice, Science and Related Agencies ○ House Committee on Appropriations, Subcommittee on Commerce, Justice, Science and Related Agencies

Figure 1. Reorganizations List of Categories

In the event that major restructuring has already been approved by legislation, the OHCS Reorganization Program Manager will confer with the NBO to identify if the particular reorganization requires full routing to Congress for approval, or if sufficient approval was granted in the related legislation. Regardless of NBO's determination, all reorganizations must flow through the appropriate review paths as described in the above table.

NOTES:

- The NBO will assist in providing the most up-to-date templates for Congressional transmittals.
- Refer to [Appendix E](#) for the transmittal memo template for organization changes not affecting NOAA basic organization and not requiring reprogramming.

IV. RESPONSIBILITIES

Organization changes cannot be finalized until all clearances and/or approvals are complete and published in a NOAA Circular (See [Appendix F](#) for a sample). OHCS will assist the LO/SO by coordinating the clearance of all reorganizations, including assignment of organizational codes and preparation of formal approval documentation. Specific responsibilities are outlined below.

A. Line/Staff Office Leadership

1. Must send all requests that propose changes to the basic NOAA organizational structure to OHCS for review to determine compliance with organization and position management principles prior to being submitted to the appropriate official for approval.
2. Must follow all required documentation criteria for the specific category of reorganization as outlined in this Handbook. [Appendix G](#) provides a summary chart of required documents by each reorganization category.
3. Must seek a determination from the OCFO as to whether the proposed change will constitute a reprogramming and therefore require Congressional notification.
4. Must notify the OCFO of its intent to change organizational structure codes.
5. Must ensure all Position Descriptions are up to date as part of its package submission.

B. NOAA Office of the Chief Financial Officer

The NOAA OCFO is responsible for making a determination regarding whether or not reprogramming is required.

C. NOAA Budget Office

The NBO must coordinate with LO/SOs to obtain the reprogramming determination and provide the OCFO determination for inclusion in the reorganization package. Refer to [Appendix H](#) for NBO's standard operating procedure for the clearance process.

D. Office of Human Capital Services

1. ***OHCS Director***. The OHCS Director will sign all NOAA Circulars. A NOAA Circular is used to establish, abolish, and/or change NFC/NOAA organization codes. The NOAA Circular template is found in [Appendix F](#).
2. ***Human Capital Strategy Division (HCSD)***. The OHCS Reorganization Program Manager, located within HCSD, is responsible for the following:
 - a. Coordinates with all OHCS Divisions throughout the process and addresses concerns;
 - b. Prepares the final NOAA Circular to implement the organization change and coordinates the effective date with the affected LO/SO for OHCS Director signature;
 - c. Distributes the approved NOAA Circular electronically;

- d. Updates the NOAA Organization Handbook;
 - e. Establishes, modifies, or abolishes NFC/NOAA organization codes in the appropriate systems;
 - f. Maintains a copy of the approved organization package; and
 - g. Transmits all personnel and organization changes to: (1) Enterprise Services and (2) the OHCS Analytics/Human Resources IT Branch for processing.
3. ***Consulting Services Division (CSD)***. CSD HR Business Advisors are the primary points of contact for all NOAA customers who interface with OHCS, in accordance with the OHCS business model. The OHCS Reorganization Program Manager will engage with the LO/SO customer in concert with the supporting HR Business Advisor. The CSD Classifier assigned to the specific organization will provide advice and guidance on position management during the process.
 4. ***Workforce Relations Division (WRD)***. Through its designated Labor Relations (LR) Specialist, WRD works with the OHCS Reorganization Program Manager to be aware of all reorganizations happening within NOAA and determines implications, if any, related to bargaining unit working conditions/conditions of employment. Such issues are discussed in the context of the NOAA reorganization policy, challenges and processes. The designated LR Specialist will assist with satisfying bargaining unit agreement obligations to facilitate positive Labor Relations outcomes. WRD will be involved in *all* reorganization requests, regardless of the presence or absence of a bargaining unit in the reorganization.

E. Assistant Administrator, Deputy Assistant Administrator, and Staff Office Director

Provides a justification memorandum to the Deputy Under Secretary for Operations (DUS/O) to seek concurrence to begin the reorganization approval process.

F. Deputy Under Secretary for Operations

1. Provides concurrence/non-concurrence to begin the reorganization approval process for Staff Offices and Line Office Support Organizations, as well as, Category 4 and 5.
2. Is responsible for updating DOO 25-5 in coordination with OHCS and OCFO.

V. PROCEDURES TO SUBMIT REORGANIZATION REQUEST PACKAGES

The requesting organization must ensure that the following steps are accomplished in preparation for submission of a proposed organizational revision. Checklists outlining specific requirements for each category of reorganization can be found in [Appendices I through L](#).

Approved organization changes must be announced via NOAA Circular. The effective date will be contained in the body of the NOAA Circular. Therefore, organization changes cannot be implemented prior to the effective date indicated in the Circular. However, various IT systems reflecting the organization change may be established prior to the effective date. The only exception is Category 1 reorganizations. As no structural changes are made as part of Category 1 reorganizations, a signed memorandum from the Director, OHCS is the mechanism to effect the change.

A. Category 1 Reorganization

- 1. Background Information.** The signed memorandum from the Director, OHCS is the mechanism to effect NOAA organizational changes for Category 1 reorganizations. A mass realignment or reassignment may not be made effective until all related approval signatures are collected. A circular is not required for Category 1 reorganizations as no structural changes are made as part of this action.
- 2. Line/Staff Office Requirements.**
 - a. Prior to submitting any formal reorganization package to OHCS, the LO AA/DAA or SO Director must approve the proposed change to proceed. This notification must be provided in a written format to include a memorandum to the Director, OHCS.
 - b. The organization proposing the change will seek a reprogramming determination from the NBO in written format. (See [Appendix H](#))
 - c. Organizational changes may not affect the way financial and/or administrative services are managed or organized.
 - d. The organization proposing the change will contact its OHCS servicing HR Business Advisor to discuss the proposed reorganization and obtain advice on organization design. OHCS 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 the OHCS Reorganization Program Manager to obtain new NFC/NOAA organization codes. OHCS will also ensure appropriate labor/management relations obligations are fulfilled.
 - e. The final reorganization package, prepared and sent to OHCS by the LO/SO proposing the reorganization, must include electronic copies of the following documents for transmittal to the Director, OHCS.

- (1) ***Transmittal Memorandum.*** A memorandum from the LO AA/DAA providing an executive summary of the proposed changes which contains a justification that 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 that established 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, addressed to the Director, OHCS.
 - (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 OHCS).
 - (i) A statement addressing SES, ST, and SL positions affected by the reorganization.
- (2) ***Organization Charts.*** Organization charts that show the current organization(s) affected by the mass movement. Future state organization charts are not required as no structural changes will take place as part of a Category 1 reorganization. (See [Appendix M](#) for sample template)
 - (3) ***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, official position title, pay plan-occupational series-grade/band, full performance level in the current structure, series description, job code, position number, duty station city, duty station state, supervisory status, and bargaining unit status. The crosswalk must be submitted as an Excel spreadsheet in electronic format. (See [Appendices N & O](#) for template format)
 - (4) ***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. For GS and FWS position descriptions five years old or older must be recertified. For CAPS, LO/SO should follow their OPMB policy

regarding recertification. As a best practice, OHCS recommends CAPS position descriptions five years old or older are recertified.

3. **OHCS Requirements.** A signed memorandum from the Director, OHCS is required before Category 1 reorganizations may be processed.

Note: [Appendix P](#) provides guidance regarding acceptable effective dates.

B. Category 2 Reorganization

1. **Background Information.** The NOAA Circular is the medium for effecting NOAA organizational changes in this section of this Handbook.

2. **Line/Staff Office Requirements**

- a. Prior to submitting any formal reorganization package to OHCS 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 in principle to proceed. This notification must be provided in a memorandum.
- b. The organization proposing the change will seek a reprogramming and Congressional approval determination from the NBO in electronic written format. (See [Appendix H](#))
- 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 Director (AGO, OCAO, OCFO, OCIO, OHCS) for review and clearance of proposed changes.
- d. The organization proposing the change will contact their OHCS servicing HR Business Advisor to discuss the proposed reorganization and obtain advice on organization design. OHCS 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 the OHCS Reorganization Program Manager to obtain new NFC/NOAA organization codes. OHCS will also ensure appropriate labor/management relations obligations are fulfilled.
- e. The final reorganization package must include 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 which contains 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 that established 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 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 will not be implemented until labor relations obligations are completed through OHCS).
 - (i) A statement addressing SES, ST, and SL positions affected in the reorganization.
- (2) **Organization Charts.** Organization charts for the current and proposed organization that shows the new structure, including reporting relationships, the names of each office, as well as known vacant positions within each office, for both current and proposed charts. (See [Appendix M](#) for sample template)
- (3) **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, official position title, pay plan-occupational series-grade/band, full performance level in the current structure, series description, job code, position number, duty station city, and duty station state, supervisory status, and bargaining unit status. The crosswalk must be submitted as an Excel spreadsheet in electronic format. (See [Appendices N & O](#) for template format)
- (4) **Functional Statements.** Functional statements for the current and proposed organization must be submitted to OHCS in electronic format for inclusion in the NOAA Organization Handbook.
- (5) **Position Descriptions.** Copies of classified position descriptions or their classification cover sheets for all new or revised positions must be written and classified prior to submission of the reorganization package. For GS and FWS position descriptions five years old or older must be recertified. For CAPS, LO/SO should follow their OPMB policy regarding recertification. As a best

practice, OHCS recommends CAPS position descriptions five years old or older are recertified.

3. ***OHCS Requirements.*** Approved organization changes will be announced in a NOAA Circular approved by the Director, OHCS. Organization changes are not to be implemented prior to the date indicated in the Circular.

Note: [Appendix P](#) provides guidance regarding acceptable effective dates.

C. Category 3 Reorganization

1. ***Background Information.*** The NOAA Circular is the medium for effecting NOAA organizational changes in this section of this Handbook.

2. ***Line/Staff Office Requirements***

- a. Prior to submitting any formal reorganization package to OHCS, 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 to the Director, OHCS.
- b. The organization proposing the change will seek a reprogramming and Congressional approval determination from the NBO in written format. (See [Appendix H](#))
- c. Organizational changes may not affect the way financial and/or administrative services are managed or organized.
- d. The organization proposing the change will contact OHCS servicing HR Business Advisor, to discuss the proposed reorganization and obtain advice on organization design. OHCS 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 OHCS offices to obtain new NFC/NOAA organization codes. OHCS will also ensure appropriate labor/management relations obligations are fulfilled.
- e. The final reorganization package, prepared and sent to OHCS by the LO proposing the reorganization, must include electronic copies of the following documents for transmittal to the Director, OHCS.
 - (1) ***Transmittal Memorandum.*** A memorandum from the LO AA/DAA providing an executive summary of the proposed changes which contains 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 that established 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, addressed to the Director, OHCS.
 - (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 OHCS).
 - (i) A statement addressing SES, ST and SL positions affected in the reorganization.
- (2) **Organization Charts.** Organization charts for the current and proposed organization that shows the new structure, including reporting relationships, the names of each office, as well as known vacant positions within each office, for both current and proposed charts. (See [Appendix M](#) for sample template)
- (3) **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, official position title, pay plan-occupational series-grade/band, full performance level in the current structure, series description, job code, position number, duty station city, duty station state, supervisory status, and bargaining unit status. The crosswalk must be submitted as an Excel spreadsheet in electronic format. (See [Appendices N & O](#) for template format)
- (4) **Functional Statements.** Functional statements for the current and proposed organization must be submitted to OHCS in electronic format for inclusion in the NOAA Organization Handbook.
- (5) **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. For GS and FWS position descriptions five years old or older must be recertified. For CAPS, LO/SO should follow their OPMB policy regarding recertification. As a best practice, OHCS recommends CAPS position descriptions five years old or older are recertified.

3. **OHCS Requirements.** Approved organization changes will be announced in a NOAA Circular approved by the Director, OHCS. Organization changes are not to be implemented prior to the date indicated in the Circular.

Note: [Appendix P](#) provides guidance regarding acceptable effective dates.

D. Category 4 or 5 Reorganization

1. **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 significant organizational changes, as determined by the NBO. Some examples of significant changes may include changes at the second layer of our NOAA organizational chart (with the first layer being NOAA itself), or the reallocation of significant funding across organizational lines.

2. **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 a reprogramming determination from the CFO via the NBO (NBO). Once the action is deemed a reprogramming, NBO will work with the initiating office to determine the most appropriate path to notify Congress. Notification might be via memos, in which case NBO provides the memo templates required to notify Congress. Memos for DOC OB, OMB, and Congress are submitted to the Executive Secretariat by the initiating office for clearance and submission to DOC. NBO will track status and notify the LO/SO when Congressional approval is received.

- 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 Director (AGO, OCAO, OCFO, OCIO, OHCS) for review and concurrence of proposed changes.
- d. The organization proposing the change must contact the OHCS Servicing HR Business Advisor, to discuss the proposed reorganization and obtain advice on organization design. The OHCS Reorganization Program Manager may join the consultative process at any time based on the discretion of the HR Business Advisor. OHCS 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 OHCS offices to obtain new NFC/NOAA organization codes. OHCS will also ensure appropriate labor/management relations obligations are fulfilled.
- e. The reorganization package must include 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 which contains 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 that established 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 or 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 (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.
- (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 OHCS).
 - (i) A statement addressing SES, ST, and SL positions affected by the reorganization.
- (2) **Proposed DOO 25-5 Wording.** The proposed wording to update the DOO 25-5, in electronic format, submitted to OHCS. In cases where a reprogramming change occurs without a change to the basic NOAA organizational structure, proposed DOO 25-5 wording is not required.
- (3) **Organization Charts.** Organization charts for the current and proposed organization that shows the new structure, including reporting relationships, the names of each office, as well as known vacant positions within each office, for both current and proposed charts. (See [Appendix M](#) for sample template)
- (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, official position title, pay plan- occupational series-grade/band, full performance level in the current structure, series description, job code, position number, duty station city, and duty station state, supervisory status, and bargaining unit status. All funded vacancies must be included. The crosswalk must be submitted as an Excel spreadsheet in electronic format. (See [Appendices N & O](#) for template format)
- (5) **Functional Statements.** Functional statements for the current and proposed organization must be submitted to OHCS in electronic format for inclusion in the NOAA Organization Handbook.
- (6) **Position Descriptions.** Copies of classified position descriptions or their classification cover sheets for all new or revised positions must be written and classified prior to submission of the reorganization package. For GS and FWS position descriptions five years old or older must be recertified. For CAPS, LO/SO should follow their OPMB policy regarding recertification. As a best practice, OHCS recommends CAPS position descriptions five years old or older are recertified.
3. **OHCS Requirements.** OHCS will coordinate the clearance of all 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. Approved organization changes will be announced in a NOAA Circular approved by the Director, OHCS. Organization changes are not to be implemented prior to the date indicated in the NOAA Circular.

Note: [Appendix P](#) provides guidance regarding acceptable effective dates.

APPENDIX A – GLOSSARY OF TERMS

- A. Approval-in-Principle.** Pre-Approval from the Under Secretary of Commerce for Oceans and Atmosphere and the Administrator (Under Secretary) or Deputy Under Secretary for Operations (DUSO) to begin the reorganization process for Categories 2, 4, and 5 reorganizations. A decision is provided to give the office permission to proceed with the request to restructure or reorganize. This notification must be provided in a written format to include an email or memorandum. This memorandum should be from the Assistant Administrator, Deputy Assistant Administrator, or Staff Office Director. Approval in Principle is not required for Category 1 and 3 reorganizations.
- B. Basic NOAA Organization.** Those organizations that report directly to the Under Secretary or the DUSO, and those mission-related organizations that report directly to an Assistant Administrator, and any other organizations as the Under Secretary, may designate, make up the basic NOAA organization. The basic NOAA organization is prescribed in DOO 25-5. These organizations are second-layer (Level II) organizations, with NOAA itself being the first layer (Level I) organization.
- C. Enterprise Services (ES).** A shared service center operated by the Department of Commerce that performs transactional Human Resources work (such as processing Personnel Action Requests). NOAA staff will delegate all transactional tasks associated with reorganizations for fewer than 10 staff to ES.
- D. Line Office.** A second-layer (Level II) 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) that perform non-mission support common to all organizations (e.g., budget, management analysis, information technology, etc.). These organizations are generally third layer organizations (Level III) or lower in the organization's structure.
- F. Management Analysis and Reporting System (MARS).** 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 U.S. Department of Agriculture unit that provides human resources, financial, and administrative services for agencies of the Federal Government.

- I. NFC Organization Code.** An 18-digit numerical code (e.g., 54-00-00-0000-00-00-00-00) used to identify an organizational unit for NOAA budget, payroll, and personnel functions. Each hyphen in an organization code denotes one layer down in the NOAA organizational hierarchy, where “54” is the prefix, representing NOAA itself (See [Appendix C](#)).
- J. NOAA Circular.** The NOAA Circular is the official document created by OHCS used for affecting all NOAA reorganizations (with or without reprogramming or DOO 25-5 changes) with the exception of Category 1 reorganizations which require no structural changes. The issuance date on the Circular, which is shown on the right hand corner, must be on or before the effective date written in the text of the Circular and is approved by the Director, OHCS. The Circular is a permanent record.
- K. NOAA Organization Code.** A six-digit alphanumeric code (e.g., AJL120) used to identify an organizational unit for NOAA budget, finance, and reporting functions.
- L. NOAA Organization Handbook.** An electronic collection of functional statements for organizations. The NOAA Organization Handbook is located on the OHCS intranet site: <https://sites.google.com/noaa.gov/ohcs/policy-procedures/noaa-organization-handbook>.
- 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. Even minor changes (such as changing the spelling of an organization’s title) is considered an organization change and must proceed through the approval process.
- N. Organization Design.** The process of aligning the organizational and position structures with the strategic mission and objectives of the organization.
- O. Organization Unit.** A distinct component identified by its own name and NFC/NOAA organization code.
- P. Position Management.** The systematic process that will be applied when designing an efficient and economical organization. Through this process, it is determined how many positions are needed, how jobs should be designed, and how to build the organizational structure needed to accomplish the mission and functional assignments of the organization.
- Q. Realignment.** The movement of an employee and employee’s position when there is an organization change (such as a reorganization or transfer of function). The employee stays in NOAA and there is no change in the employee’s position, grade/band, or pay.
- R. Reassignment.** A reassignment is when an employee leaves their position of record, remains in NOAA or any DOC component, and is assigned to a new position description with no change in salary (with the exception of locality pay).

- S. Reorganization.** The planned elimination, addition, or redistribution of functions or duties in an organization.
- T. Reprogramming.** 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. The NBO will review a reorganization and determine if it is a reprogramming and therefore require Congressional notification.
- U. Restructuring.** 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.
- V. Staff Office.** A support organization performing NOAA-wide support functions and reporting directly to the Under Secretary or the Deputy Under Secretary for Operations.
- W. Transfer of Function.** 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 the movement of the competitive area in which the function is performed to another local commuting area requiring Department approval.

APPENDIX B – PROCESS MAPS BY CATEGORY

The process maps below indicate the general flow of each reorganization based on category. Factors that can influence this flow can include:

- Additional reviews or changes by the Line/Staff Office
- Union considerations
- Changes resulting in impacts to SES/SL/ST positions
- Additional scrutiny requested by additional NOAA reviewers (for example, highly visible reorganizations may require review and approval by NOAA’s appropriations team)
- Errors introduced at any phase of the process

A. Category 1 Process Map

Category 1 reorganizations are the most streamlined type of reorganization, as no structural changes are involved. This is the only type of reorganization that does not require DOC Office of Human Resource Management (OHRM) approval, however it still requires DOC Office of Budget (OB) concurrence with the reprogramming determination as with all other reorganizations.

The Reorganization Process: Category 1

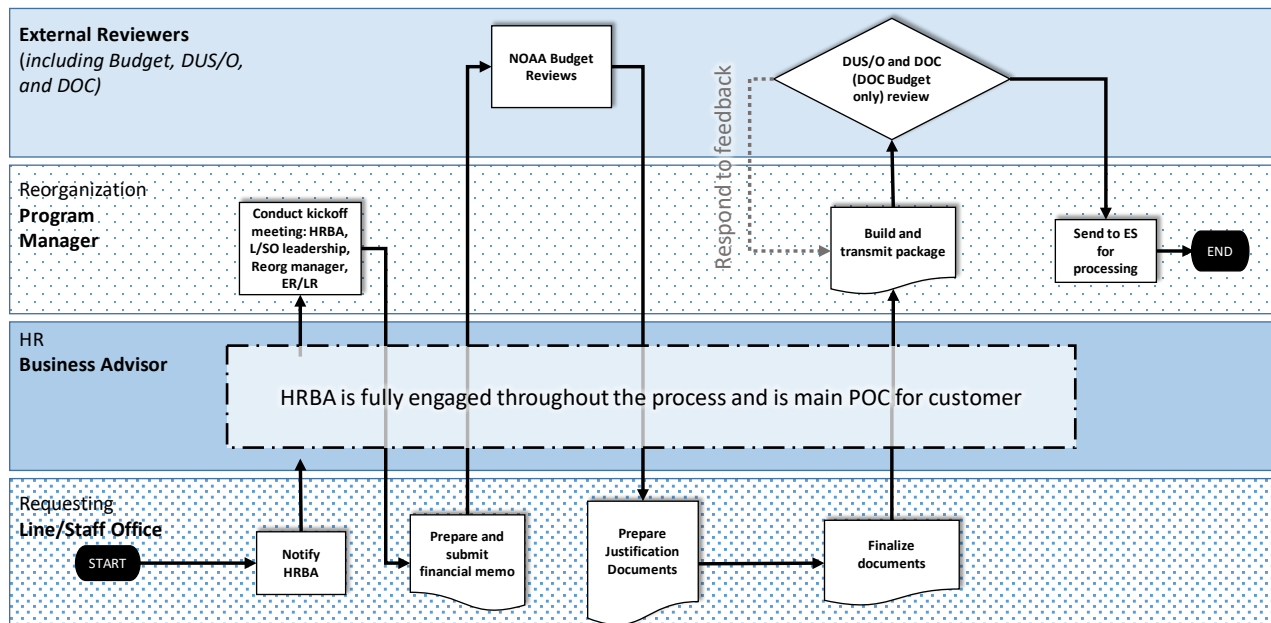


Figure 2. Category 1 Reorganization Process

B. Category 2 Process Map

Category 2 reorganizations involve structural changes in organizations that are dedicated to *mission support*. These organizations often take the name of *Staff Offices* or *Line Office Support Organizations*. Since these organizations report to the Deputy Under Secretary for Operations (DUS/O) or the Under Secretary (UNSEC), an *approval in principle* memo is required from the DUS/O or Under Secretary before the reorganization process may begin. This is the only unique requirement from the approval process in all other reorganization categories, in which the Line Office’s Administrator or Assistant Administrator serve as the initial approval authority.

The Reorganization Process: Category 2

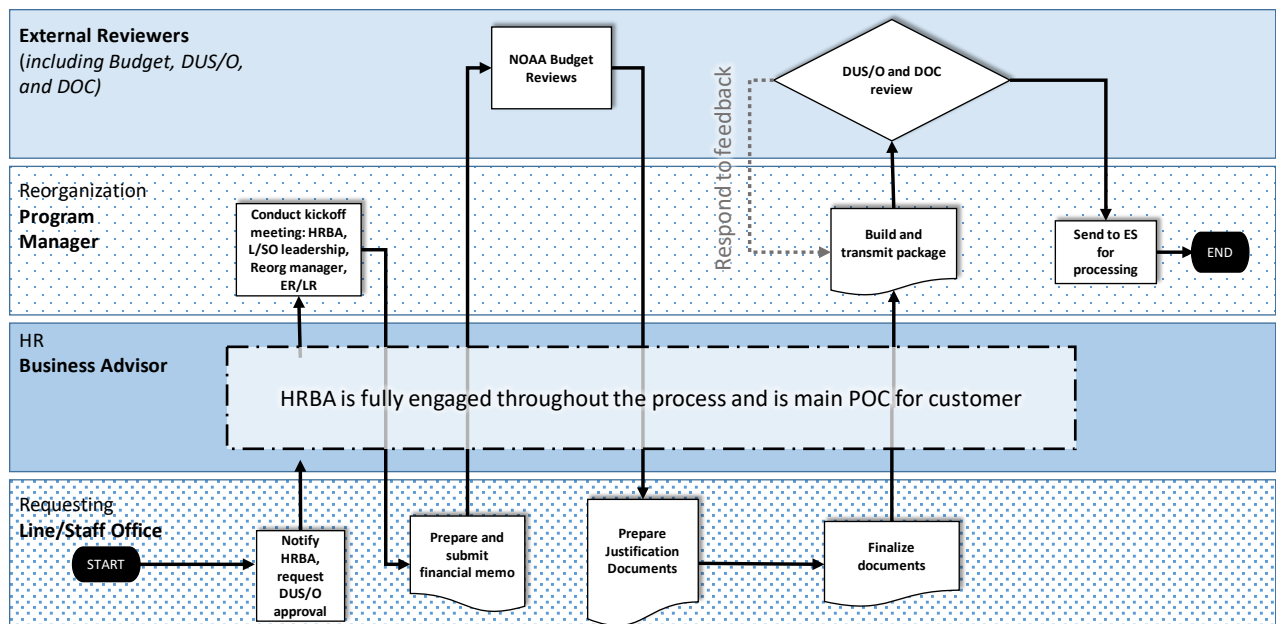


Figure 3. Category 2 Reorganization Process

C. Category 3 Process Map

Category 3 reorganizations are more common than all other reorganization categories combined. The category 3 action can involve a number of restructuring activities, including the addition of new organizations, the renaming of others, or the abolishment of unused organizations. Staff moves often accompany this type of reorganization as well. This type of reorganization does not involve reprogramming, so Congressional review and approval is not required.

The Reorganization Process: Category 3

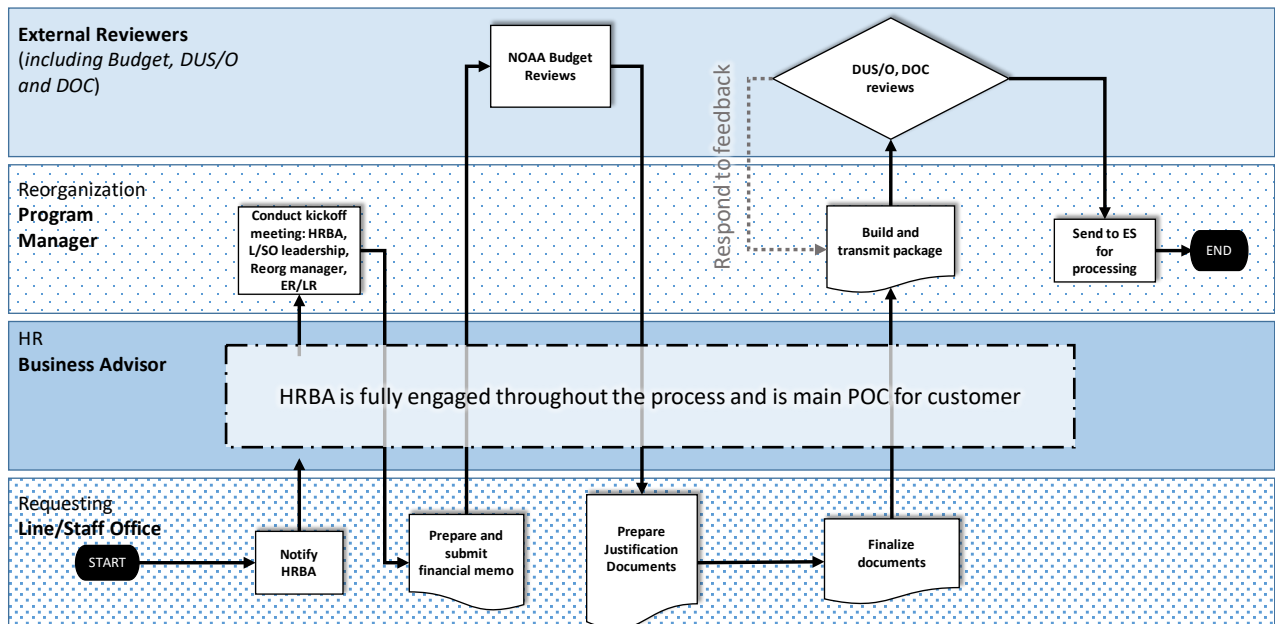


Figure 4. Category 3 Reorganization Process

D. Categories 4 and 5 Process Maps

These types of reorganizations require Congressional review and approval. This approval is obtained by way of a Congressional transmittal. The NOAA Budget Office (NBO) will provide the reorganization team with the memo templates necessary. The NOAA Executive Secretariat will manage the transmission to our external reviewers at the Department of Commerce (DOC) and Office of Management and Budget. DOC will sign and transmit the memoranda to the following subcommittees on NOAA’s behalf:

- Senate Committee on Appropriations Subcommittee on Commerce, Justice, Science and Related Agencies
- House Committee on Appropriations, Subcommittee on Commerce, Justice, Science and Related Agencies

The NBO will track status of the materials and advise the reorganization team of any updates. Once the House and Senate have cleared the reorganization with no objections, the reorganization team may proceed with implementation.

The Reorganization Process: Categories 4 and 5

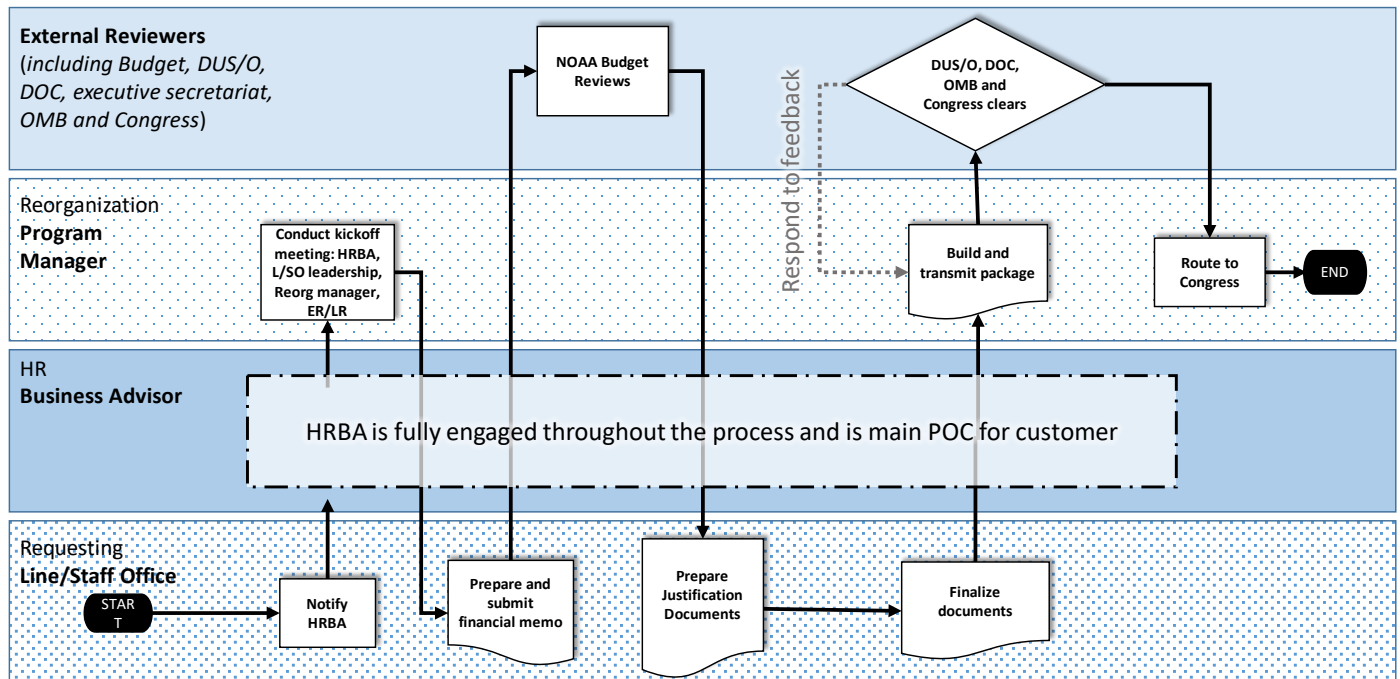


Figure 5. Category 4 Reorganization Process

APPENDIX C – 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.

Table X. Approved Organization Titles

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	Office Center Region 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
National Marine Fisheries Service	Office Center Region 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
National Ocean Service	Office Center Region 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

National Environmental Satellite, Data, and Information Service	Office Center Region Staff (for support functions) Also acceptable for support functions: -Program -Unit	Division Center *Office	Branch Division Division Division Center	Section Branch Branch Branch Branch Branch	Unit Section Section Section Section Section
Office of Oceanic and Atmospheric Research	Office Center Region Laboratory 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
Office of Marine and Aviation Operations and NOAA Corps (Headed by a Director)	Office Center Region Staff (for support functions) Also acceptable for support functions: -Program -Unit	Division Center *Office	Branch Division Division Division 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

* The term Office can be used at the fourth level only if headed by a member of the SES. It does not have to be an FMC. Waivers to this policy can be considered on a case-by-case basis with an additional justification memo to the Director, OHCS.

APPENDIX D – KEY POSITION TITLES

LINE OFFICE

1. Head: Assistant Administrator
2. Principal 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)

**APPENDIX E –FORMAT FOR TRANSMITTAL MEMO FOR ORGANIZATION
CHANGE NOT AFFECTING NOAA BASIC ORGANIZATION AND NOT REQUIRING
REPROGRAMMING**

MEMORANDUM FOR: [Name]
Deputy Under Secretary for Operations

FROM: [Name of AA or Staff Office Director]
[Title, Office]

SUBJECT: Reorganization of [Name of office being reorganized,
no acronyms in the Subject section]

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:

- *[Name, title, office(s) that reviewed/cleared document and date; or insert “none”]*

Contact Person:
[Insert name, title, unit, email address, and phone number of contact(s)]

*Try to keep cover memo to one page

APPENDIX F – NOAA CIRCULAR TEMPLATE

NOAA Circular *22-0X* *Month XX, 2021*

SUBJECT: Reorganization of the **National Marine Fisheries Service (NMFS), Pacific Islands Regional Office (PIRO)**

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

Effective **MM DD, 2022**, the **xxxx** is reorganized to strengthen the management structure, clarify organizational relationships, and eliminate defunct functional areas.

The organization and related code structures are revised as follows. Bold denotes change. Strikethrough denotes a change in organization name.

- Change 1
- Change 2
- Etc...

TO-BE ORGANIZATION

Bold denotes change. Strikethrough denotes a change in organization name.

NOAA ORG CODE	NFC ORGANIZATION CODE	ORGANIZATION TITLE	MAIL ROUTING CODE

NOAA ORG CODE	NFC ORGANIZATION CODE	ORGANIZATION TITLE	MAIL ROUTING CODE

Organization Conversion

ESTABLISH

All new organizations are located City/State (Code #)

NOAA ORG CODE	NFC ORGANIZATION CODE	ORGANIZATION TITLE	MAIL ROUTING CODE

ABOLISH (These organizations will be deleted)

NOAA ORG CODE	NFC ORGANIZATION CODE	ORGANIZATION TITLE	MAIL ROUTING CODE

[Director's name]
 Director, Office of Human Capital Services

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.

APPENDIX G – REORGANIZATION CATEGORY CHART WITH REQUIRED DOCUMENTS

Category	Description	Required Documents
1	<p>Line Office Internal Structure, Consolidation of ten or more employees via mass realignment and/or reassignment</p> <ul style="list-style-type: none"> - No New Org Codes Established - No DOO 25-5 Changes or Reprogramming - Only Realignment or reassignment of Employees 	<ul style="list-style-type: none"> - Signed Reprogramming Determination Document - Signed Approval Memo from LO AA/DAA - Signed Justification Memo from LO AA/DAA to OHCS Director - New PDs for Classification - Crosswalk
2	<p>Staff Office (OHCS /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 (email conveying concurrence is also acceptable) - Current/Proposed Functional Statements - Current/Proposed Organization Charts - Crosswalk - Signed Justification Memo from SO Director or LO AA/DAA to OHCS Director - New PDs 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 Memo from LO AA or DAA - Current/Proposed Functional Statements - Current/Proposed Organization Charts - Crosswalk - Signed Justification Memo from LO AA to OHCS Director - New PDs 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 OHCS Director - New PDs for Classification - Bargaining Unit Pre-Decisional Information (PDI) comments and suggestions – if applicable - Letters to OMB and Congress

Category	Description	Required Documents
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 OHCS Director - New PDs for Classification - Bargaining Unit Pre-Decisional Information (PDI) comments and suggestions – if applicable - Letters to OMB and Congress

Figure 6. List of Reorganizations Categories with Required Documents

**APPENDIX H – NOAA OFFICE OF CHIEF FINANCIAL OFFICER STANDARD
OPERATING PROCEDURES FOR REPROGRAMMING DETERMINATION OF
REORGANIZATIONS**

All reorganizations require Chief Financial Officer (CFO) concurrence that a reprogramming is not required. The Standard Operating Procedure can be found on the following website:

<https://docs.google.com/document/d/1HfomSLhq1qHMUFtZOt-wocLNZ-dFDnZA3aeWlQwrfeY/edit>

APPENDIX I – CHECK SHEET FOR CATEGORY 1 REORGANIZATION

Category 1: Movement of ten or more employees without a Change to the Organizational Code(s) or Organizational Name(s)

The final reorganization package, prepared and sent to OHCS by the LO proposing the reorganization must include electronic copies of the following documents for transmittal to the Director, OHCS.

**Note: Refer to the “Procedures for Submitting Reorganization Request Packages” section for detailed guidance.*

- **Transmittal.** A memorandum from the LO AA/DAA providing an executive summary of the proposed changes which contains 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 that established the need for 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 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 OHCS.**)
 - A statement addressing SES, ST and SL positions affected in the reorganization.
- **Organization Charts.** Organization charts that show the current organizations affected by the mass movement. Future state organization charts are not required as no structural changes will take place as part of a Category 1 reorganization.
- **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, official position title, pay plan-occupational series-grade/band, full performance level in the current structure, series

description, job code, position number, duty station city, duty station state, supervisory status, and bargaining unit status. The crosswalk must be submitted as an Excel spreadsheet in electronic format.

- **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.

APPENDIX J – CHECK SHEET FOR CATEGORY 2 REORGANIZATION

Category 2: Staff Office (AGO, OCAO, OCFO, OCIO, OHCS) and Line Office Support Organizations new Organizational Code(s) or Rename existing Organizational Code(s) – No DOO 25-5 Changes or Reprogramming

The final reorganization package, prepared and sent to OHCS by the LO/SO proposing the reorganization, must include electronic copies of the following documents for transmittal to the DUS/O.

**Note: Refer to the “Procedures for Submitting Reorganization Request Packages” section for detailed guidance.*

- **Transmittal.** A memorandum from the SO Director or LO AA/DAA providing an executive summary of the proposed changes which contains 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 that established the need for 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 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 OHCS.***)
 - A statement addressing SES, ST and SL positions affected in the reorganization.
- **Organization Charts.** Organization charts for the current and proposed organization that shows the new structure, including reporting relationships, the names of each office, as well as known vacant positions within each office, for both current and proposed charts.
 - **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, official position title, pay plan-

occupational series-grade/band, full performance level in the current structure, series description, job code, position number, duty station city, duty station state, supervisory status, and bargaining unit status. The crosswalk must be submitted as an Excel spreadsheet in electronic format

- **Functional Statements.** Functional statements for the current and proposed organization must be submitted to OHCS 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

APPENDIX K – CHECK SHEET FOR CATEGORY 3 REORGANIZATION

Category 3: Line Office new Organizational Code(s) or Rename existing Organizational Code(s) – No DOO 25-5 Changes or Reprogramming

The final reorganization package, prepared and sent to OHCS by the LO proposing the reorganization, must include electronic copies of the following documents for transmittal to the Director, OHCS.

**Note: Refer to the “Procedures for Submitting Reorganization Request Packages” section for detailed guidance.*

- **Transmittal.** A memorandum from the LO AA/DAA providing an executive summary of the proposed changes which contains 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 that established the need for 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 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 OHCS.)***
 - A statement addressing SES, ST and SL positions affected in the reorganization.
- **Organization Charts.** Organization charts for the current and proposed organization that shows the new structure, including reporting relationships, the names of each office, as well as known vacant positions within each office, for both current and proposed charts.
- **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, official position title, pay plan-

occupational series-grade/band, full performance level in the current structure, series description, job code, position number, duty station city, duty station state, supervisory status, and bargaining unit status. The crosswalk must be submitted as an Excel spreadsheet in electronic format.

- **Functional Statements.** Functional statements for the current and proposed organization must be submitted to OHCS 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.

APPENDIX L – CHECK SHEET FOR CATEGORY 4 OR 5 REORGANIZATION

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

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

The final reorganization package, prepared and sent to OHCS by the LO/SO proposing the reorganization, must include electronic copies of the following documents for transmittal to the Department of Commerce Chief Financial Officer/Assistant Secretary for Administration (CFO/ASA).

**Note: Refer to the “Procedures for Submitting Reorganization Request Packages” section for detailed guidance.*

- **Transmittal.** A memorandum from the Under Secretary to the CFO/ASA providing an executive summary of the proposed changes which contains 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 that established the need for 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 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 OHCS.***)
 - 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 OHCS. 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 that shows the new structure, including reporting relationships, the names of each office, as well as known vacant positions within each office, for both current and proposed charts. .
- **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, official position title, pay plan-series-grade/band, full performance level in current structure, series description, job code, position number, duty station city, duty station state, supervisory status, and bargaining unit status. All funded vacancies must be included. The crosswalk must be submitted as an Excel spreadsheet in electronic format
- **Functional Statements.** Functional statements for the current and proposed organization must be submitted to OHCS 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.

APPENDIX M – SAMPLE ORGANIZATIONAL CHART TEMPLATE

The purpose of submitting organizational charts is to clearly illustrate the intent and impact of proposed reorganizations. These charts should be clear, concise and should fully represent all changes proposed in organizational transmittal memoranda. Organizational charts should:

- Display both the current organizational structure (as it is structured today) and the proposed organizational structure (as it will appear after the reorganization takes place). The current and proposed charts should appear on separate pages and should include a label denoting which chart is current and which is proposed.
 - It is helpful to illustrate which organizational units are changing by using yellow highlights on organizational units that will change in the future state.
- Depict organizational structures only. An *organization* chart differs from a *staff* chart in that it does not provide position-level detail nor names of staff. While staff charts may be useful for planning purposes, they should not be included as part of a reorganization package.
- Display the total number of current funded vacancies

The example below clearly illustrates the current and proposed states for a hypothetical reorganization. The related template is located at the *Reorganization Resources* page located at: https://drive.google.com/drive/folders/1nzyEcy3Zrj11_sOXQsnRLKdweLi6DEma

- Visit the following link for a quick reference on how to build your own organization chart using Microsoft PowerPoint: <https://support.microsoft.com/en-us/topic/create-an-organization-chart-9b51f667-11b7-4971-a757-a08a36684ee6>

EXAMPLE

The following charts depict a hypothetical organization within NOAA, known as the “Office of Excellence.” This office contains four divisions. The office’s leadership identified two name changes they wanted to pursue as part of a reorganization:

- Rename the “Customer Service Branch” in the “East Coast Division” to the “Client Operations Branch” to mirror the naming structure in the “West Coast Division”
- Create an additional “Customer Advocacy Branch” in the “East Coast Division” to address work demands that are unique to the East Coast Division

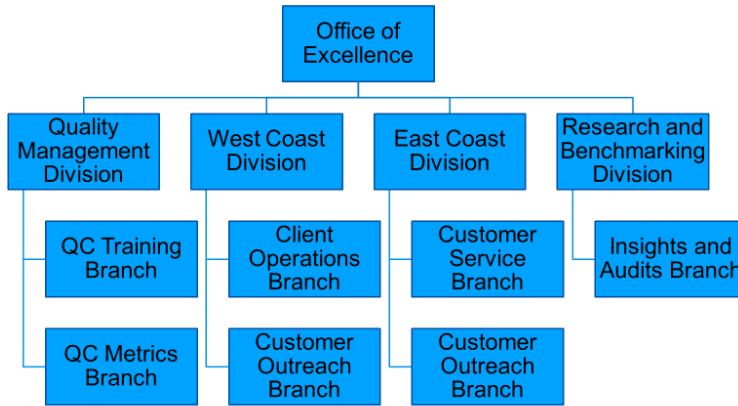
Notice that both charts indicate the number of funded vacancies, and that the changes are reflected in yellow highlights in the proposed organization charts.

Visit the Reorganization Templates page to view the editable charts below:
https://drive.google.com/drive/folders/1nzyEcy3Zrj11_sOXQsnRLKdweLi6DEma

Current Organization Charts

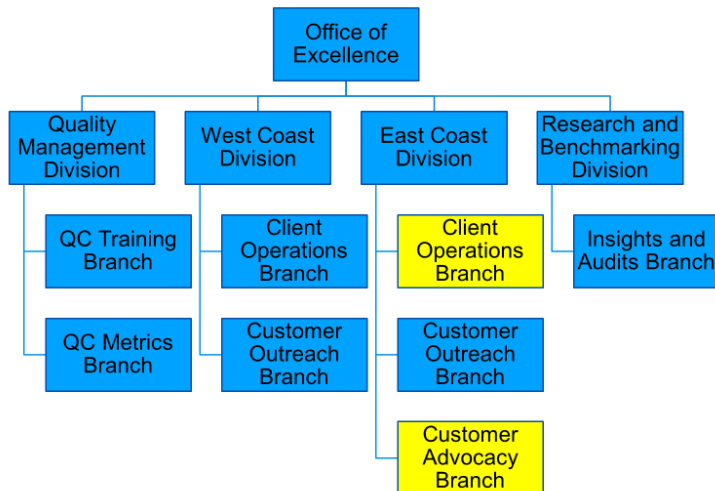


Funded vacancies: 7



1

Proposed Organization Charts



2

APPENDIX N – CROSSWALK FORMAT - REALIGNMENT

Current Organization													
NFC Org Code	Billet No.	Employee ID	POI	Employee Last Name	Employee First Name	Employee Middle Initial	Position Title	Pay Plan Series/Grade	Series Description	Job Code	Position No.	Duty Station City	Duty Station State

Proposed Organization												
New NFC Org Code	Billet No.	Employee ID	POI	Reports To Position No.	Pay Plan Series/Grade	Series Description	Job Code	Position No.	Duty Station City	Duty Station State	Complications	

Crosswalks must be submitted as an Excel spreadsheet. Crosswalks must not contain Social Security numbers. A template can be downloaded from the OHCS website at:
https://drive.google.com/drive/folders/1nzyEcy3Zrj1l_sOXQsnRLKdweIi6DEma

APPENDIX O – CROSSWALK FORMAT - REASSIGNMENT

Current Organization													
NFC Org Code	Billet No.	Employee ID	POI	Employee Last Name	Employee First Name	Employee Middle Initial	Position Title	Pay Plan Series/Grade	Series Description	Job Code	Position No.	Duty Station City	Duty Station State

Proposed Organization												
New NFC Org Code	Billet No.	Employee ID	POI	Reports To Position No.	Pay Plan Series/Grade	Series Description	Job Code	Position No.	Duty Station City	Duty Station State	Complications	

Crosswalks must be submitted as an Excel spreadsheet. Crosswalks must not contain Social Security numbers. A template can be downloaded from the OHCS website at:
https://drive.google.com/drive/folders/1nzyEcy3Zrj11_sOXQsnRLKdweIi6DEma

APPENDIX P – ACCEPTABLE EFFECTIVE DATES

Reorganizations may only be made effective on the first day of a pay period, which generally falls on a Sunday. NOAA’s transaction services provider, Enterprise Services (ES), requires two full pay periods’ notice to implement a reorganization *after* all approvals have been received and the reorganization circular has been signed by the Director, OHCS.

Reorganizations may be effectuated at the beginning of nearly any pay period, so long as they do not conflict with NOAA-wide mass actions. Implementing a reorganization during these pay periods can result in significant errors, which are often pay-impacting. The table below displays the pay periods in which reorganizations may and may not be implemented. ES may offer additional guidance above what is listed here.

Month	Notes
January	No reorganizations are allowed in the first pay period of January to allow for across-the-board pay increase processing
February	No restrictions
March	No restrictions
April	No restrictions
May	No restrictions
June	No restrictions
July	No restrictions
August	No restrictions
September	No restrictions
October	No reorganizations are allowed in the second pay period in October to allow for performance pay increase processing
November	No restrictions
December	No restrictions

APPENDIX Q – ROUTINE UPDATES TO FUNCTIONAL STATEMENTS

Organizations are encouraged to continually update their functional statements as their work evolves. OHCS maintains an online repository of these statements and can accept requests to modify the statements outside of the formal reorganization process so long as:

- The request is made by the requesting Line or Staff Office's Assistant Administrator, Deputy Assistant Administrator or Director (in the case of Staff Offices) and directed to the Director, Office of Human Capital Services, for concurrence
- The Director, OHCS concurs with the proposed changes
- The changes do not imply any changes to the DOO 25-5
- The changes do not result in changes to organizational structure, titling, or the reassignment or realignment of staff