

NNSA POLICY

NAP 110.2

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ORGANIZATIONAL CHANGE POLICY



NATIONAL NUCLEAR SECURITY ADMINISTRATION Management and Budget

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OFFICE OF PRIMARY INTEREST (OPI):
Human Resources

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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. AUTHORITY. This NNSA Policy (NAP) is written under 50 United States Code (U.S.C.) 2402(d), which gives the Administrator authority to establish NNSA-specific policies, unless disapproved by the Secretary.
3. CANCELLATION. Business Operating Procedure (BOP) 110.2, *Organizational Change Policy*, dated December 7, 2017.
4. APPLICABILITY.
 - a. Federal. This applies to all NNSA federal elements.
 - b. Contractors. Does not apply to contractors.
 - c. Equivalencies/Exemptions.
 - (1) Equivalency. In accordance with the responsibilities and authorities assigned by Executive Order 12344, codified at 50 United States Code (U.S.C.) sections 2406 and 2511, and to ensure consistency throughout 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.
 - (2) Exemptions. None.
5. SUMMARY OF CHANGES.
 - a. Converts the original BOP into a NAP.
 - b. Updates the content requirements for an organizational change package to comply with the Government Accountability Office's (GAO) *Key Practices for Agency Reform*.
 - c. Updates the Administrator's responsibilities to include: serving as the final authority on determining the success of an organizational change implementation and ensuring leadership accountability for the success or failure of the organizational change; and communicating major organizational changes to stakeholders.

- d. Adds Principal Deputy Administrator responsibilities.
 - e. Updates the Heads of NNSA Elements responsibilities to include: informing key stakeholders of major organizational changes.
 - f. Updates the responsible office within the Office of Human Resources from Employment and Workforce Planning Division to the Workforce Manning, Data, Recruiting Division (WMDRD).
6. BACKGROUND. In 2017, the Office of Management and Budget required Federal agencies to provide reform plans including proposals to improve efficiency, effectiveness, and accountability. To assist Congress in its oversight of these efforts, the GAO organized their prior work and leading practices into broad categories and key questions that assess the development and implementation of agency reforms. This NAP establishes NNSA's use of those categories and key questions when developing and implementing organizational changes and reforms.
7. 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 NAP.
- a. Organizational change proposals must be developed based on organization requirements, mission needs, and in keeping with appropriate management practices and available resources.
 - b. Organizational leaders must consult with assigned Human Resources Consultant (HRC), WMDRD, and the Manpower Manager within the Office of Human Resources when considering and formulating organizational change proposals.
 - c. Position descriptions requiring revision due to a proposed organizational change must be identified, updated, and classified prior to approval of the organizational change.
 - 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 missions, or mandatory budgetary constraints require the function to be abolished.
 - f. When adding a function, it must be confirmed that no other organization within NNSA is performing the same function. If another organization is performing the function, the reorganization proposal must justify that duplication of the function meets specific programmatic requirements.

- g. Additional functions must be clearly tied to NNSA's mission 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) a draft action memo;
 - (2) current and proposed Organization, Authorities, and Functions (OAF) statements;
 - (3) an employee crosswalk;
 - (4) current and proposed organization charts;
- j. An organizational change package may include the following attachments, if necessary (See [GAO-18-427 Key Questions to Assess Agency Reform Efforts](#) for more information):
 - (1) specific outcome-oriented goals and performance measures to be used in determining whether intended goals or objectives of the change were met;
 - (2) steps to engage employees during the development and implementation of proposed changes;
 - (3) an assessment of whether the data or other analyses support the proposed change or confirm that any analysis completed shows the proposed change to be the most efficient;
 - (4) identify relevant high-risk issues, Inspector General's major management challenges and other internal/external reviews in developing organizational changes that were considered; and
 - (5) steps to implement leadership succession planning in support of the proposed organizational change.
- k. The organizational change package must be sent to Human Resources, WMDRD for regulatory review, records management, and coordination of required actions.
- l. Approved NNSA organizational change packages must be submitted to DOE's Workforce Analysis and Planning Division (by WMDRD) for implementation and issuance of new organization codes and routing symbols.

8. RESPONSIBILITIES.a. Administrator.

- (1) Serves as the final approving authority for NNSA organizational changes and transfer of function requests.
- (2) Serves as the final authority on determining the success of organizational change following implementation and ensuring leadership accountability for success or failure in meeting the goals of the change.
- (3) Communicates major organizational changes to stakeholders.

b. Principal Deputy Administrator. Reviews, coordinates with originator, and provides recommendations to the Administrator.c. Associate Administrator for Management and Budget. reviews and concurs on final organizational change packages prior to submission to and approval by the Administrator.d. Heads of NNSA Elements.

- (1) Consult with WMDRD to ensure a proposed organizational change will meet the organization's mission and established performance goals.
- (2) Collaborate with WMDRD on the proposed organizational change.
- (3) Send organizational change packages to the WMDRD for regulatory review.
- (4) Consult with WMDRD 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) Inform key stakeholders of major organizational changes.
- (6) Seek approval of organizational changes from the Administrator through submission of an organizational change package.

b. Director, Human Resources.

- (1) Develops policies and procedures for approving organizational changes.
- (2) Discusses proposed organizational changes in NNSA with Heads of

NNSA Elements, as needed.

- (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.

c. 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.

d. Supervisors and Office Directors.

- (1) Coordinate with WMDRD on proposed organizational changes.
- (2) Develop draft organizational change documents (e.g., action memorandum, current and revised OAF statements, current and revised organization charts, and preliminary employee crosswalks).
- (3) Prior to Administrator approval, coordinate with the HR Team to revise existing or write projected position descriptions for classification.
- (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 WMDRD has reviewed and determined that the package is complete.

e. Human Resources Staffing Consultant.

- (1) Provides guidance and assistance to supervisors and leaders on proposed organizational changes.
- (2) Coordinates with WMDRD staff to refine organizational design concepts, provide advice, 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.

f. Workforce Manning, Data, Recruiting Division (WMDRD).

- (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 DOE's Workforce Analysis and Planning Division for implementation of organizational changes.
- (6) Works with the organization point of contact and HRC to finalize and submit the personnel crosswalk to the DOE CHRIS functional team.
- (7) Coordinates employee crosswalk with DOE's CHRIS functional team.
- (8) Maintains a central repository for all organizational change packages.
- (9) Provides final notification of approved organizational changes and effective dates of actions implementing the change to NNSA Elements.

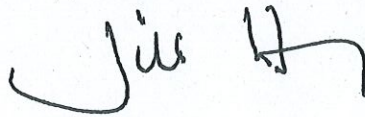
9. PROCESS MAP. See Appendix A.

10. DEFINITIONS. See Appendix B.

11. REFERENCES. See Appendix C.

12. CONTACT. Workforce Manning, Data, Recruiting Division at
NNSAReorg@nnsa.doe.gov.

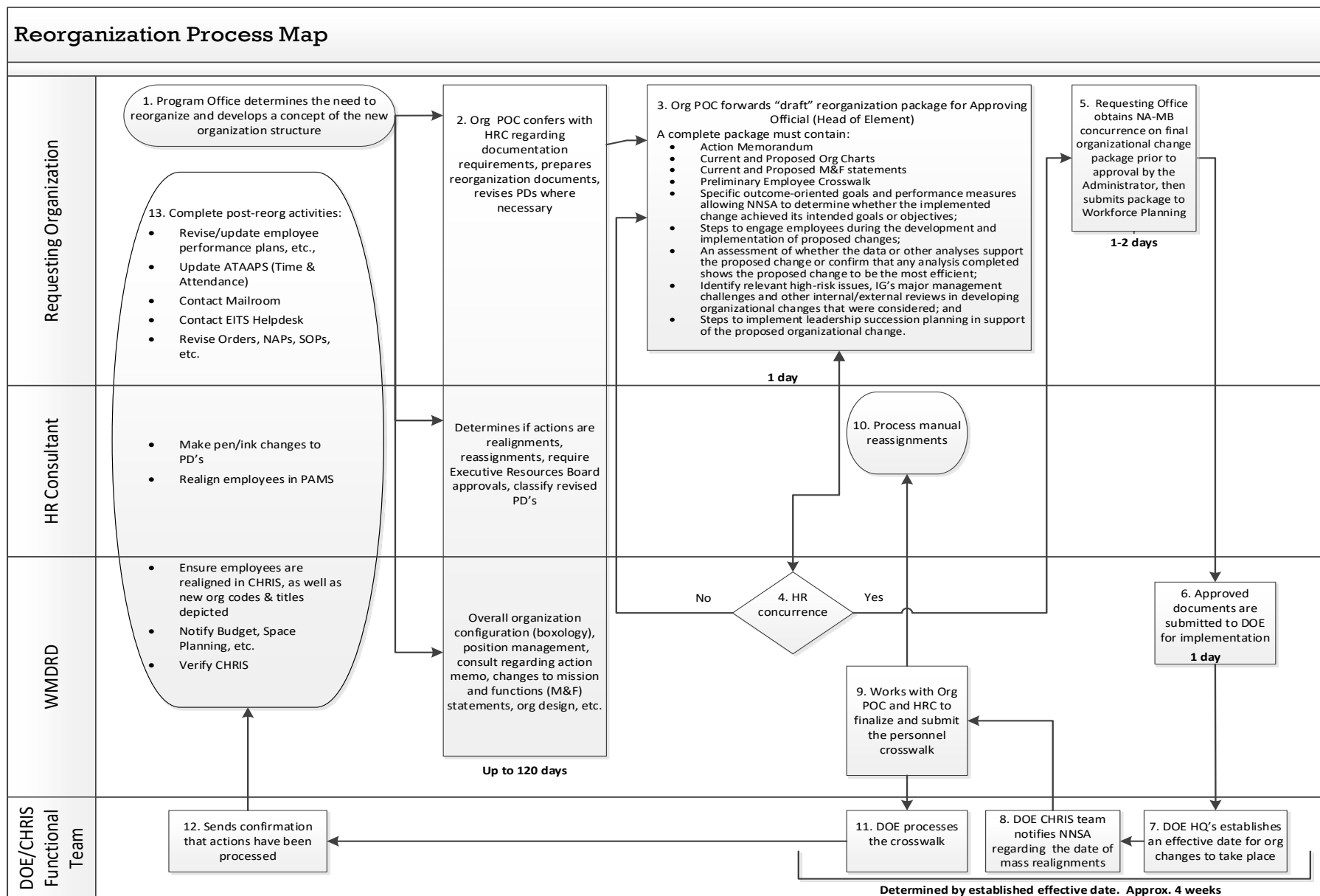
BY ORDER OF THE ADMINISTRATOR:

A handwritten signature in black ink, appearing to read "Jill Hruby", with a stylized flourish at the end.

Jill Hruby
Administrator

1. Appendix A: Process Map
2. Appendix B: Definitions
3. Appendix C: References

APPENDIX A: PROCESS MAP



APPENDIX B: 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** – 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. **Heads of NNSA Elements** - Deputy Administrators, Associate Administrators, Field Office Managers, General Counsel, the Director of the Office of Policy and Strategic Planning, and the Director of the Office of Cost Estimating and Program Evaluation.
- f. **Human Resources Staffing Consultant** – Provides day-to-day advice and guidance to leaders, supervisors, and employees regarding Human Resources issues, particularly focused in the staffing area.
- g. **NNSA Executive Resources Board** – 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.
- h. **NNSA Element** – Headquarters and field offices that report directly to the Administrator.
- i. **Organization, Authorities, and Functions** – 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 the Department of Energy. A Routing Symbol is a 4 to 9-digit code used to identify organizations (examples, NA-1, NA-PAS-10).

- k. **Organizational Chart** – May also be referred to as boxology. A graphic representation of the structure of an organization showing the relationships of the positions or jobs within it.
- l. **Reorganization** – Planned elimination, addition, or redistribution of functions or duties in an organization.
- m. **Scientific and Technical** – 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.
- n. **Senior Executive Service** – Positions classified senior to GS-15 that include duties involving one or more of the functional criteria (executive or managerial) identified in law.
- o. **Senior Level** – Positions that are not SES positions that are classified senior to GS-15 based on other factors.
- p. **Transfer of Function** – Movement of work (function) from one competitive area to one or more other competitive areas.
- q. **Workforce Manning, Data, Recruiting Division** – 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.

APPENDIX C: REFERENCES

- a. 50 U.S.C. 2402, Section 3212 (f) of P. L. 106-65 (*National Nuclear Security Administration Act*).
- b. DOE Corporate Human Resources Information System (CHRIS) [User's Manual](#), dated September 21, 2015.
- c. [GAO 23-105299](#), National Nuclear Security Administration, Fully Incorporating Key Practices for Agency Reform Would Benefit Any Future Organizational Changes, December 2022.
- d. [GAO-18-427](#), Government Reorganization, Key Questions to Assess Agency Reform Efforts, June 2018.