

**PROCEDURES FOR PROCESSING PROPOSED ORGANIZATIONAL CHANGES**

REVIEW DATE: September 8, 2022

**1.0 PURPOSE**

This circular establishes policy and procedures for approval of organizational changes within the Bureau of Engraving and Printing (Bureau/BEP).

**2.0 SCOPE**

This circular applies to all Deputy Directors, Associate Directors, Offices, Divisions, Branches, Sections and Staff components of BEP. The provisions of the circular assign responsibilities for the preparation, coordination, review, and approval of requests for establishing, changing, moving, or eliminating an organization's mission, function, structure, positions, or responsibilities.

**3.0 POLICY**

It is the policy of the Bureau that all proposed organizational changes be reviewed and approved by the Office of Human Resources (OHR) to ensure the Organizational Handbook accurately reflects the requirements and the impact of requested changes are appropriately vetted with the implementation team.

**4.0 REFERENCES**

- 4.1 [Treasury Directive 21-01](#), "Organizational Changes," dated April 29, 2016.
- 4.2 [Treasury Order 107-04](#), "Authority of the General Counsel," dated January 16, 2009.
- 4.3 [Manual No. 10-01](#), "Bureau of Engraving and Printing Organization Manual," dated April 6, 2014.
- 4.4 [Manual No. 80-01.1](#), "Bureau of Engraving and Printing Directives Manual," dated August 23, 2016.

**5.0 SUPERSESSION**

This circular supersedes Circular No. 10-01.1, "Procedures for Processing Proposed Organizational Changes," dated July 20, 2000.

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## 6.0 CATEGORIES OF ORGANIZATIONAL CHANGE

- 6.1 Category 1. Consists of the creation, abolishment, or movements of positions or employees in an organizational structure or program at the Deputy Director and/or Associate Director level(s). Category 1 organizational changes require the approval of the BEP Director and Treasury's Assistant Secretary for Management (ASM) or the Deputy Secretary. Any proposal that must be coordinated with the Department of the Treasury should be submitted in triplicate at least 60 days before the proposed effective date of the change(s).
- 6.2 Category 2. Consists of the creation, abolishment, or movement of positions or employees in an organizational structure at the Office level. Category 2 organizational changes require the approval of the appropriate Deputy Director.
- 6.3 Category 3. Consists of the creation, abolishment, or movements of positions or employees in an organizational structure at the Division and sub-levels. Category 3 organizational changes require the approval of the Associate Director.
- 6.4 Category 4. Consists of the creation, abolishment, or movements of positions, functions, or employees within the Office of the Chief Counsel. Category 4 organizational changes require the approval of the General Counsel, under the Department of the Treasury.

## 7.0 RESPONSIBILITIES

- 7.1 Associate Director of the Requesting Office (RO): The RO ensures all proposed organization changes are in accordance with Treasury and BEP's strategic goals and priorities; rules and regulations; staffing and business plans; and efficiency initiatives. The RO submits the organization change request package to the OHR Human Resources Officer (HRO), including the elements described in Attachment A. The RO must also obtain the necessary technical guidance and concurrences from the appropriate BEP Offices pertaining to legal, budget, acquisitions and space/facilities program requirements.
- 7.2 Chief Financial Officer (CFO) Directorate: The CFO Directorate determines the overall budget of each BEP component. The CFO Directorate coordinates with the RO, OHR, and the Chief Information Officer (CIO) Directorate during the review, approval, and implementation phases as applicable. The CFO Directorate provides concurrence or recommendations to the RO and OHR based on budgetary requirements and limitations. Where needed, the CFO Directorate works with the RO in conducting a cost analysis of the proposed change and ensures budgetary concerns regarding efficiency and funding are resolved. The CFO Directorate ensures organization changes requiring new or modified contracts are in accordance with applicable laws and regulations. The CFO Directorate works directly with the RO's budget officer and updates or manages any applicable, impacted systems. The CFO Directorate determines and mitigates the impact on existing cost centers and related codes required by changes to organizational structures. The CFO Directorate provides concurrence or recommendation to the RO, OHR, Associate Directors, Deputy Directors, and the Director, as applicable.

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- 7.3 Management (MGMT) Directorate:** The MGMT Directorate oversees changes in logistics and real property and where required, facilitates the analysis of the new facility/space requirements and related cost impacts associated with the proposed organizational change, along with the CIO Directorate, to fulfill any new space/facility requirements.
- 7.4 Chief Information Officer (CIO) Directorate:** The CIO Directorate coordinates with the RO, OHR, or CFO Directorate during the implementation phase. The CIO Directorate is responsible for making programming modifications, as necessary, to any BEP systems or applications impacted by the organization changes (e.g., email, telephone system, etc.). The CIO Directorate provides or executes the necessary information technology, equipment, or software to add or convert system data required by organization changes. The CIO Directorate services include network support; video and voice communications, etc.
- 7.5 Office of Human Resources (OHR):** OHR coordinates with the RO and the BEP stakeholders during the planning, review, approval, and implementation phases of an organization change. The HRO provides concurrence or recommendation to the RO or Director, as required. OHR provides technical advice and assistance to the RO when it is planning any organization change or drafting the proposed organization change documents (e.g., position descriptions, charts, mission, and functional statements, etc.). OHR determines the impact on the staffing plan; structures; reporting relationships, position classification or qualification; efficiency; and bargaining units. OHR notifies the appropriate union and processes the necessary personnel actions upon final approval. OHR works with the CIO Directorate to update the BEP Organizational Manual with the final and signed organization chart and Functional Statements in the BEP Organizational Manual.
- 7.6 The Office of Chief Counsel:** Provides guidance for ensuring that proposed organizational structures and changes thereto are in accordance with all applicable laws, rules and regulations.
- 7.7 Department of the Treasury:** Provides technical advice and assistance with regard to organization changes having Department-wide impact and retains authority for final approval of Category 1 and 4 organization changes, defined in Section 6, Categories of Organization Change, of this directive.

## 8.0 PROCEDURES

- 8.1 PLANNING AND SUBMISSION.** This phase consists of research, analysis, discussions, and submission of documents required to establish, modify, or abolish an organization. The RO prepares and submits the necessary documents as defined in Attachment A with assistance from OHR. All change requests must be submitted to the HRO OHR, for review and routing to the appropriate official(s). The RO must provide:
- 8.1.1** A routing sheet with the appropriate concurrences. The RO must obtain the necessary technical guidance and concurrence from the appropriate BEP

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Offices pertaining to legal, budget, procurement, and space/facilities program requirements prior to the submission of the official change to OHR.

**8.1.2** A justification memo providing a summary of the requested changes.

**8.1.3** A fiscal impact statement of the proposed organization changes, including a statement describing changes in salaries, numbers and types of positions, space/facilities, or contracts as part of the submission of the change request package. If there is no fiscal, space/facilities, and/or contract impact, that must be addressed in the statement. The RO must also indicate any impact to bargaining unit, working conditions, or existing laws, policies, rules, and regulations.

**8.1.4** Organization charts, function statements, and personnel and organization code crosswalks.

**8.2 REVIEW AND APPROVAL.** This phase consists of the formal review and approval of the change request. OHR Workforce Analytics Division (WAD) will facilitate the review and approval process. The timeframe, review, and approval processes are based on the type of Category change request, as defined in Section 6 above. A review of the official, submitted package will determine if additional documents or information are needed from the RO. This phase is complete once final approval has been received from the authorizing official(s).

### **8.3 IMPLEMENTATION OF APPROVED REORGANIZATIONS**

This phase begins after the package receives final approval. The implementation team is comprised of OHR, the CFO, MGMT and CIO Directorates personnel who work with the RO to enter modifications to the organization's records, database systems, and applications. The implementation process requires 60 to 90 days from receipt of the final approval from the authorizing official(s).

**8.4 FOLLOW-UP ON REORGANIZATIONS.** OHR may conduct an assessment or follow-up on the reorganization. This may include assessing whether the reorganization has achieved its originally stated objectives (e.g., cost savings benefits, mission objectives, etc.) and whether the reorganization has created any unanticipated impacts.

**8.4.1** OHR may conduct a position classification review or other related study(ies) to determine whether position responsibilities, grades, and supervision originally stated are being accomplished in accordance with Bureau, Treasury, and/or the Office of Personnel Management standards.

### **9.0 EFFECTIVE DATE**

Approved organizational changes will become effective four times a year: on the first day of the pay period of a fiscal year or the initial pay period of the second, third, and fourth quarters of a fiscal year. Due to complexity and visibility factors, Category 1, 4 changes will be effective the first day of the pay period of a fiscal year, or as otherwise directed.

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## 10.0 OFFICE OF PRIMARY RESPONSIBILITY

Office of Human Resources

**<electronically approved>**

Leonard R. Olijar

Director

## ATTACHMENT A

## Table of Organization Change Request Checklist

	ITEMS	DATE SUBMITTED	COMMENTS
1	A signed routing sheet indicating that all required concurrences, review, and approvals internal or external to the RO have been met.		If applicable, the RO must also obtain the necessary technical guidance and concurrences from the appropriate BEP office pertaining to legal, budget, procurement, and space/facilities program requirements prior to the submission of the official change request.
2	A memorandum addressed to the final authorizing official through the HRO, HRM from the RO's Associate Director, outlining the proposed change(s).		<p>The memo must describe how the process will enhance the mission of the organization; improve alignment in accordance with BEP's strategic plan; improve customer service; and/or improve the efficiency and effectiveness of BEP.</p> <p>The memo should also state what (if any) the planned changes are for positions, specifically bargaining unit (BU) positions, supervisors, GS-15s and/or SES, including working conditions for BU employees.</p>
3	Official ("as-is") and proposed ("to-be") organization charts, including the types of positions (e.g., official pay plan, title, series, and grade) taken from HR Connect.		
4	New or updated mission and function statements for which any organization code is being established or modified.		
5	Position Descriptions.		If applicable.
6	A fiscal impact statement for the proposed organization changes, justifying the changes in budget, salaries, types of positions, space/facilities, contract, procurement, or acquisition.		If there is no financial impact, an affirmative statement to that effect is required indicating that no movement between appropriations is required. Similarly, if there are no changes to space/facilities, procurements, or contracts, the same statement is required.
7	Organization and Employee Crosswalks.		The crosswalks may be submitted after the package is

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			officially delivered but is required as part of the implementation phase.
8	Communication Plan.		The communication plan may be submitted after the package is officially delivered but will be required before a final approval is granted.

## ATTACHMENT B

## Review, Approval and Implementation of Organization Changes

Type of Category Changes	Review	Approval	Effective Dates
<p>Category 1. Consists of creation, abolishment, or movements of positions or employees in an organizational structure or program at the Deputy Director and/or Associate Director level(s). Category 1 organizational changes require the approval of the BEP Director and Treasury's Assistant Secretary for Management (ASM) or the Deputy Secretary. Any proposal that must be coordinated with the Department should be submitted in triplicate at least 60 days before the proposed effective date of the change(s).</p>	<p>The implementation team - OHR, CFO, MGMT, and CIO.</p>	<p>Requires the approval of the BEP Director and Treasury's Assistant Secretary for Management (ASM) or the Deputy Secretary</p>	<p>Due to complexity and visibility factors, the effective date will be the first day of the pay period of a fiscal year or as Treasury dictates.</p>
<p>Category 2. Consists of creation, abolishment, or movements of positions or employees in an organizational structure at the Office level. Category 2 organizational changes require the approval of the appropriate Deputy Director.</p>	<p>The implementation team - OHR, CFO, MGMT, and CIO.</p>	<p>Appropriate Deputy Director, BEP</p>	<p>First day of the pay period of a fiscal year or the initial pay period of the second, third, and fourth quarters of a fiscal year.</p>
<p>Category 3. Consists of creation, abolishment, or movements of positions or employees in an organizational structure at the Division and sub levels. Category 3 organizational changes require the approval of the appropriate Associate Director.</p>	<p>The implementation team - OHR, CFO, MGM, and CIO.</p>	<p>Appropriate Associate Director</p>	<p>First day of the pay period of a fiscal year or the initial pay period of the second, third, and fourth quarters of a fiscal year.</p>
<p>Category 4. Consists of the creation, abolishment, or movements of positions, functions, or employees within the Office of the Chief Counsel. Category 4 organizational changes require the approval of the General Counsel, under the Department of the Treasury.</p>	<p>General Counsel</p>	<p>General Counsel, with the concurrence of the Assistant Secretary for Management (Department of Treasury)</p>	<p>Due to complexity and visibility factors, the effective date will be determined by the Department of Treasury.</p>