



U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION
Mike Monroney Aeronautical Center Policy

AC 1100.164A

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SUBJ: Mike Monroney Aeronautical Center Organization Policy

This order prescribes the Mike Monroney Aeronautical Center policy on organization, specifying the process to plan, initiate and implement changes to organizational structure at the Mike Monroney Aeronautical Center (hereinafter referred to as the Center or AC).

Detailed procedures are provided for identifying the need for any proposed changes, the purpose for reorganizing and what the activity will accomplish. This policy identifies and assigns specific coordination responsibilities and procedures unique to the Center.

Establishing this policy is significant to ensuring that affected employees are impacted as minimally as possible and that the organizations are appropriately funded and staffed.


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Chapter 1: General Information

1. **Purpose of this order.** This policy specifies the process to initiate and implement changes to organizational structure at the Mike Monroney Aeronautical Center. It provides specific procedures for identifying the need for any proposed changes, the purpose for reorganizing and what the activity will accomplish. Establishing this policy is significant to ensuring that affected employees are impacted as minimally as possible and that the organizations are appropriately funded and staffed.
2. **Audience.** This policy applies to all levels of management and support staff in organizations that report to the Director, Mike Monroney Aeronautical Center. All employees involved in processing reorganizations must read and comply with the requirements of this order.
3. **Where Can I Find This Order?** This order is located in the FAA Directives Management System (DMS) website: https://employees.faa.gov/tools_resources/orders_notices.
4. **Applicable Agency Guidance:**
 - a. Order 1100.1 series, FAA Organization - Policies and Standards
 - b. Order 1100.2 series, Organization - FAA Head quarters
 - c. Order 1100.5 series, FAA Organization - Field
 - d. Order 1100.87 series, Routing Symbol Standards
 - e. Order 1100.148 series, FAA Organization Manual
 - f. Order 1100.154 series, Delegations of Authority
 - g. Order AC 1100.24 series, Interpretation of Aeronautical Center Directives Issued Before 8/1/1992

Chapter 2: Planning a Reorganization

1. **Definitions for Terminology Used in the Reorganization Process.** Reference Appendix G for a list of acronyms, abbreviations and routing symbols.

a. **Initiating Organization.** The organization initiating and coordinating the proposed reorganization activity.

b. **Reorganization Focal Point.** An individual from the initiating organization representing and communicating the interests of the organization throughout all phases of coordination and in communication with the support organizations, management of the affected organizations, and Office of the Center Director, AMC-1. If this is not an officially assigned duty, the Program Director of the originating organization will designate a representative to perform in this capacity for the duration of the reorganization activity and he/she may alternatively be referred to as the reorganization representative/focal point. This person may perform this function individually on behalf of the program director/management staff, or as lead representative of a reorganization planning committee working as a group on the activity. See Appendix A., Reorganization Checklist, to assist in performing this role.

c. **Support Organizations** are the Quality Systems and Business Resources Staff (AMC-3), Office of Budget and Performance Management (AMB) and Office of Human Resource Management (AMH). The support organizations will identify internal representatives to work directly on the reorganization to resolve issues and assist with reorganization requirements. These organizational representatives are neither mediators nor unnecessary layers of review. They perform a necessary function of the reorganization process by working directly on issues which could impact reorganization and/or other organizations that share spheres of responsibility. The roles of the support organizations are:

1) Quality Systems and Business Resources Staff:

a) Is the Center contact point for all reorganizations and liaison with FAA Headquarters for all reorganization-related issues.

b) Is the Center Subject Matter Expert (SME) for organizational, functional, and structural guidance and information, including maintenance of the most current Center functional statements and organizational chart(s), as needed.

c) Provides a reorganization procedures package at the initial meeting to assist in reorganization efforts.

d) Maintains the official case file for all Center reorganizations. These are historical, permanent records that are transferred to the National Archives and Records Administration (NARA).

e) Upon request, can delegate AMC-3 staff analysts/industrial engineers to provide organizational analysis.

2) Office of Human Resource Management:

- a) Consults with organizations on position description changes as a result of reorganizations.
- b) Classifies all new position descriptions.
- c) Consults with organizations on personnel changes as a result of reorganizations.
- d) Performs additional personnel processing activities, as needed.

3) Office of Budget and Performance Management:

- a) Reviews for duplication of effort already budgeted for in another organization.
- b) Reviews for funding impacts.
- c) Reviews costs center changes.
- d) Processes the budgetary aspects of reorganizations.
- e) Coordinates changes in LDR and Delphi project codes.

d. **The Reorganization Package** consists of information used to effect the reorganization. The documents contained in this package are legal case file records and will be maintained by the Aeronautical Center Directives Management Officer (AC DMO), AMC-3. In accordance with FAA Order 1350.15 series, Records Organization, Transfer, and Destruction Standards, all documents relating to the establishment of and changes in organization, functions, relationships, and delegations of authority are considered to have historical value and will be transferred to NARA ten years following the official approval date of the reorganization. The components of a reorganization package are determined by the actions to be accomplished in the reorganization. The guidance in this order will help determine which documents will be needed in the package.

e. **Organizational Analysis** is an assessment performed by the organization. Reference Appendix F., Organizational Analysis Checklist, to assist in this evaluation process. Upon request, AMC-3 can delegate staff analysts/industrial engineers to provide organizational analysis assistance, as resources permit. Consideration should be given to:

- 1) Delegation and appropriateness of assignment of functional responsibilities and authorities.
- 2) A clear distinction between organizational elements based on the product or service to be produced.
- 3) The alignment of organizational structures by common product and/or service as well as function.

4) The supervisor to employee ratio (span of control).

5) Assistant, administrative, and staff functions and positions and the appropriateness of their use and proposed organizational placement.

f. **FAA Order 1100.5 series, Organization-Field** is an Agency directive that documents field elements and their reporting relationships, structures, and functions at the division-level and above. The Center is represented as Chapter 15 of the order and identifies:

1) Functions of Center organizations.

2) Functions of straight-lined organizations that support both the organizations assigned to the Center Director, AMC-1, and the other straight-lined support organizations located at the Center, e.g., Office of Communications (AMC-5/ASW-5).

3) Organizational titles and routing symbols.

4) Reporting relationships.

5) AC organization chart.

g. **Functional Statements** are narratives that document the functional responsibilities of the organization(s) being reorganized and the appropriate related organizational title(s) and routing symbol(s). These statements are used primarily to document organizations' functions and to avoid functional overlaps. Functional statements should be brief. Avoid identifying specific programs by title that will likely change or be canceled. Instead, use a broad description of each organization's functions.

h. **Delegation of Authority** identifies signature authority levels that warrant lowering or redelegation to lower organizational levels.

i. **Spheres of Responsibility** identify the relationships of multiple organizations in the Agency which actively communicate, collaborate, and are collectively responsible for meeting the objectives of the Agency. Reorganizations may affect cross-organizational policies, programs, systems and operations so consideration must be given to evaluating the outcome of the activity during the analysis phase and prior to implementation.

j. **Aeronautical Center Directives Management Officer (AC DMO)**. This position resides in AMC-3 and is responsible for managing and implementing the Agency's Directives Management Program at the Center. The AC DMO is the Subject Matter Expert (SME) and focal point for all Center reorganization activities that fall under the purview of the Associate Administrator for Regions and Center (ARC) Line of Business and oversees activities involving Center organization, structure, delegations of authority and spheres of responsibility. The AC DMO maintains the official case files of all organizational, structural, and functional changes for organizations reporting to the Center Director, AMC-1. Case files for all reorganization activities are considered historical in nature by the

National Archives and Records Administration (NARA) and have a permanent retention period. Reference FAA Order 1350.15 series, for the official disposition and authority citation.

k. **Directives Management Representative (DMR).** This function resides in each organization and is an official designation made by the organization's program director. The DMR is the organizational focal point who represents the organization on all directives-related activity and coordinates with the AC DMO. The DMR maintains the records for all directives for which the organization is the Office of Primary Responsibility (OPR). The DMR also maintains copies of the organizational functional statements because these are an essential component of Chapter 15 of FAA Order 1100.5 series, FAA Organization - Field.

l. **Office of Primary Responsibility (OPR).** The OPR is the office that has primary responsibility for the reorganization. It is the office that initiates, implements, maintains or supports the specified activity, function, process, equipment, service, etc. The OPR may be located at any level within the organization. The OPR and DMR coordinate activities to ensure a smooth transition.

m. **Approval Authority.** The Approval Authority is the executive that has the authority to approve organizational structure. For the Center, this is the Center Director, AMC-1. Certain situations may permit redelegation of this authority to one level lower. Reference Chapter 4, Approval and Implementation, for additional information on specific authorities and redelegations.

2. **Determining the Need to Reorganize.** There can be numerous reasons for reorganizing. After a thorough analysis/assessment has been conducted by the requesting organization, any suggested change(s) to organizational structure or function should do at least one of the following:

- a. Correct an organizational problem, such as an overlap of functions.
- b. Reduce costs and/or result in a savings in resources (Full-Time-Equivalent [FTE] positions, etc.).
- c. Delete functions for which the organization is no longer responsible for or add new functions the organization has acquired.
- d. Delineate responsibilities more clearly and clarify functions.
- e. Add new organizations or delete or consolidate existing organizations.

3. **Conducting an Assessment.** An assessment is an informal pre-proposal activity that helps determine whether to proceed with the formal activities involved in the reorganization process. When considering an organizational structure, analyze the functions, products, and services involved:

- a. Delegations and appropriateness of assignment of functional responsibilities and authorities.
- b. A clear distinction between organizational elements based on the product or service to be produced.

- c. The alignment of organizational structures by common product and/or service as well as function.
- d. The supervisor to employee ratio (span of control).
- e. Assistant, administrative, and staff functions and positions and the appropriateness of their use and proposed organizational placement.
- f. Discuss this informal pre-proposal assessment with appropriate internal management officials within the organization to ascertain support and decide whether to proceed with formal activity.
- g. *If the decision is made to proceed, immediately notify any union(s) that represent affected bargaining unit employees and provide them with information of the reorganization plans. In any situation involving reorganization or restructuring activities that affect a bargaining unit employee, it is a must to obtain union approval prior to proceeding further.*

4. Initiate Planning Activity.

- a. Contact the reorganization focal point. If one is not available, a designee will be appointed by the Program Director to act as the reorganization focal point and communications liaison with all supporting organizations: AMC-3, AMB and AMH.
- b. Determine the appropriate approval authority; refer to Chapter 4, Approval and Implementation. As an example, in the case of a reorganization in the FAA Academy (AMA): if it is determined the local approval authority will be the FAA Academy Superintendant, AMA-1 (in lieu of the Center Director, AMC-1), the AMA reorganization focal point and the division's manager will discuss aspects of the proposed reorganization with AMA-1, the approving official. AMA-1 will ensure appropriate information regarding proposed actions is communicated to his/her supervisor and others, as appropriate. In this example AMA-1 would brief AMC-1 on key proposals to be included in the reorganization and any other Center executives that may have operations impacted by the proposed changes.
- c. Discuss the following with the appropriate approval authority and provide justification for:
 - 1) Why a change needs to be made.
 - 2) Results to be accomplished.
 - 3) If applicable, identify special needs and justifications for deputy or assistant positions, and the process to be taken to accomplish the change.
- d. If the proposed reorganization changes are supported by the local approving official, notify the AC DMO with an email message of the plans to reorganize. Do this prior to implementing any formal reorganization activity. Schedule an initial informational meeting, which will include the reorganization focal point, the AC DMO, an AMB budget representative, and the appropriate Customer Service Representative and/or Personnel Management Specialist from AMH. The purpose

of this meeting is to discuss the reorganization process and to explain the roles of the support organizations. The following list is not all-inclusive but provides a general understanding of the various topics that will be discussed and addressed during the meeting. Documents may be provided to the support organizations at this time to facilitate discussion of the proposal; however, the formal reorganization package should not be prepared until all relevant discussion has occurred with AMB, AMH, and AMC-3 and all outstanding issues have been resolved. Be prepared to address the following questions:

- 1) Why is the organization reorganizing?
- 2) What are the desired outcomes?
- 3) What is the extent of personnel movement?
- 4) What is the potential impact to employees and the possibility for adverse actions?
- 5) Is funding available to establish the new program(s)?
- 6) Are new cost centers being established?
- 7) Will a deputy or special assistant position be created? If so, what is the justification?
- 8) What is the status of union coordination?

e. For several reasons, it is very important that this initial meeting between the organization and the support organizations take place at least six months prior to the proposed effective date or as soon as feasible, since all reorganization requests must be submitted not later than May 1. The representatives of the support organizations are the key players who will process and implement reorganization. This initial meeting will provide these support organizations with the basic concepts of why and how plans are being made to reorganize and what the reorganization will entail so that workload and priorities can be planned out. Any changes to an organization's structure usually requires changes to be made in the Agency's personnel databases maintained in electronic applications such as, but not limited to, the following:

- 1) Federal Personnel and Payroll System (FPPS).
- 2) Report, Analysis and Distribution System (RADS) for Labor Distribution Reporting (LDR).
- 3) Consolidated Automated System for Time and Labor Entry (CASTLE).
- 4) Electronic Learning Management System (eLMS).
- 5) Department of Transportation Financial Management System (Delphi).
- 6) Superior Contribution Increase (SCI) System.

Depending on the specific types of proposed changes, updating of systems software and data can take several weeks or months to accomplish. If the support organizations cannot accomplish this planning as soon as the need is known, the effective date and resulting implementation of an approved reorganization will be delayed.

f. Full consideration must be given to assessing all potential impacts to offset unavoidable delays or unintentional consequences in implementation. As applicable, potential impacts may include national or local initiatives that may compete for necessary resources for time and coordination efforts; time constraints of individuals involved for various reasons (workload, audits, temporary duty/detail status, etc.); electronic system delays in processing of personnel/budget actions; physical movement of personnel; procurement and delivery of furniture, etc. Distribution mail services personnel may need notification due to changes in routing symbols and mail stops. Modifications may need to be made to Directives, Standard Operating Procedures (SOP), ISO processes, website references, etc. It is important that an organization consider all of its business processes in determining potential risks and pitfalls in order to avoid them. A major delay to processing any reorganization is selecting the wrong time to reorganize. **All reorganizations must be initiated for coordination prior to May 1 to provide adequate coordination time to all organizations and focal points.** Reorganizations can be delayed due to unforeseen issues that arise during communication with unions, the legal office, conducting organizational assessments, etc. Initiating activity prior to May also accommodates year-end activities that start in June which could be adversely impacted by a reorganization that is implemented during July through September.

g. **IMPORTANT: Do not assume that any aspects that were previously discussed in meetings or electronic messages have been pre-approved until the official hardcopy package has been thoroughly coordinated with AMC-3, AMH and AMB and the package has received final approval by the appropriate official, which is the Center Director or the FAA Administrator.**

Chapter 3: Activities of Reorganization

1. After the Initial Meeting.

a. Proceed with preparing the appropriate documentation and coordination for the reorganization package as provided in this order. All requirements must be identified with a timeline of completion and shared with all parties to the reorganization activity.

b. Contact the appropriate support organization (AMC-3, AMB, or AMH) individually to discuss the timeline; development, review and classification of position descriptions; development of the reorganization package; budgetary impacts; need for new cost center codes; etc.

c. Notify the union representative of plans to reorganize and the anticipated changes. Bring them into the process early and keep them informed. Keep in mind that if the organization is covered by a bargaining unit agreement, the union must be officially notified prior to the initiation and implementation of any reorganization activity.

2. Activities to Avoid During Reorganization.

a. One circumstance that can slow down reorganization is the plan to upgrade several existing positions during reorganization. The slow down occurs because personnel specialists must analyze and research the requested average grade to determine if the upgrade is warranted. Also, the need for position upgrades alone is not a reason to reorganize. An upgrade that is believed to be warranted can be requested at any time. If the reorganization needs to proceed quickly, save any requested position upgrades for another time.

b. Consider changes to cost centers and establishment of common accounting numbers (CAN). Involve the AMB representative who is responsible for position control early in the planning process to help avoid redoing SF-52's when the reorganization is complete.

c. Not coordinating all facets of the reorganization with all of the support organizations or not identifying persons who could be impacted in the reorganization, and not planning on how to deal with the issue(s) appropriately, could cause problems later if not considered and addressed during the planning process. Potential issues and risk avoidance will be discussed in the initial meeting of the initiating organization and the support organizations.

3. Special Considerations.

a. **Assistant supervisory or special assistant positions:** These positions should be created with caution and supported by the criteria for establishing or continuing to have such a position. Refer to Order 1100.1 series, FAA Organization - Policies and Standards, Chapter 1, Section 5, for specific policy.

b. **Position sensitivities and security investigations:** When an organization reorganizes, position sensitivities sometimes change. Employees may need additional security investigations to support their placement in positions with different sensitivity levels. These investigations can be

costly, and some are in excess of \$3,000 per individual. In addition, some position sensitivities require the investigation be completed prior to placement of an individual in the position. Contact the Security and Investigations Division (AMC-700) after position descriptions are finalized to determine investigation requirements and costs. While a reorganization will not be disapproved based on the cost of security investigations, the organization will need to consider how the costs will be covered and be aware of AMC-700 procedures for requesting the investigations.

4. Documentation Needed in a Reorganization Package.

a. The reorganization package will be prepared by the organization proposing and initiating the reorganization. The use of encrypted email messaging is encouraged for transmittal of this and all other documents related to the coordination, approval, and implementation of the reorganization to facilitate efficient communication. In all cases, the final approval received by electronic mail will be re-documented in hardcopy format on an official Clearance Record, FAA Form 1300-2, with an original signature from the local approving official prior to transmittal to FAA Headquarters for final approval and inclusion in the national order FAA Order 1100.5 series.

b. The following information will help determine which documents to prepare for the reorganization. Contact the AC DMO for additional assistance, as needed.

c. Provide an executive summary in memorandum format for AMC-1 (reference Appendix B for a sample) and address the following:

- 1) Reason(s) for reorganizing and the desired outcome(s).
- 2) Changes in structure and assignment of function.
- 3) Identification of any increase or decrease in positions, including deputies and special assistants, with rationale for justification in accordance with Order 1100.1 series.
 - a) Describe positions by the position title, type, and grade.
 - b) Number of authorized positions, if applicable.
 - c) Number of End-of-Year (EOY) positions. This is the planned number of full-time-permanent (FTP) onboard at the end of the fiscal year.
 - d) Number of onboard positions, both full-time-permanent and other-than-full-time-permanent (OTFTP).
 - e) State if current positions are identified from the FPPS database. A sample FPPS data output is provided in Appendix C.
- 4) The change in supervisor-to-employee ratio.
- 5) Changes that could impact other organizations and customers.

6) Discussion of union notification and/or inclusion in meetings and coordination activity, as appropriate.

d. The current and proposed organizational structures are used by AMH to determine what position changes are requested in the reorganization and what impact the position changes or the reorganization will have, if any, on employees in the organization. AMH works with the initiating organization to ensure all employees are placed on authorized positions; position descriptions accurately reflect the work of the organization; and adverse impact on employees is held to a minimum. Details are also required for position changes, cost increases or decreases, cost center changes, assurances that adequate funding will be available for changes, and to determine average grade and employee/supervisory ratios.

e. Provide updated functional statements. The organizational DMR will furnish a copy of the organization's current functional statement to review for revision. As the functional statements are prepared, ensure that there are no functional overlaps. Examples are provided in Appendix D. These statements must be revised when:

1) An organization's name or routing symbol is added, deleted, or changed at the division level or above.

2) A major organizational function is added, deleted, changed, or moved at division level or above.

3) An existing organization is moved and the reporting relationship is changed at division level or above.

f. Submit new Position Descriptions (PDs) and Job Analysis Tools (JATs) to AMH on all positions for which the organization requests a change in title, series, or average grade. If existing PDs/JATs are not current, new PDs/JATs that update the duties and responsibilities will need to be classified by AMH and reviewed by the organization prior to including them in the package. If an organization is only changing organizational names or the location of existing PDs/JATs, new PDs/JATs do not have to be submitted. AMH will make the appropriate pen-and-ink changes to the existing PDs/JATs to effect changes for organizational names and locations. When new PDs/JATs are required, supervisors are encouraged to use the PD Library, which is accessible on-line at <http://pdlibrary.faa.gov/> for this purpose. This electronic system contains a variety of PDs used throughout the Agency, which are already classified and ready to use. If access to PD Library is not available, contact the servicing personnel specialist in AMH for more information. If PD Library does not contain a PD which fits the needs and a new PD/JAT tool must be created, remember to list only the major duties the position is responsible for and limit the JAT to 2 pages. Include these approved documents in the reorganization package.

g. Depending on the actions being accomplished in the reorganization, submission of the package to FAA Headquarters may be required, as discussed elsewhere in this order. A Clearance

Record and revised organizational chart(s) will be needed for transmittal to Headquarters. These documents are:

1) **Clearance Record:** **FAA Form 1300-2 is used as the coordination coversheet for changed functional statements.** Note that this form should not be confused with the Employee Clearance Form, FAA Form 3370-5, which serves a separate, specific purpose. A clearance record will be prepared if the scenario dictates, such as when functional statements at division level or above must be corrected in Order 1100.5 series, Organization-Field, Chapter 15; or when a reorganization proposal contains sensitive issues that warrant coordination with FAA Headquarters, AMC-1, or other Center organizations. On the clearance record, under "Reason for the Attached", address briefly the major change being made, such as movement of functions or combining organizations. Do not elaborate on specifics such as numbers of positions, span of control, etc.

2) **Organizational Chart:** Organizational charts depict organizational entities, horizontal and vertical reporting relationships, and routing symbols. AMC-3 prepares revised organizational charts depicting changed information at division level and above for submission to FAA Headquarters.

5. **Activities of the Initiating Organization and Supporting Organizations.** The initiating organization coordinates the completed draft package by sending complete copies to AMC-3, AMB, and AMH for review and comment. Coordination by electronic mail is preferred; however, hardcopies are acceptable if they are scannable to an electronic format.

a. AMB will review the package regarding three major issues: Duplication of effort already budgeted for in another organization, cost center changes, and funding impacts. Remember that changes must remain within the allocated funding. Keep in mind the following issues AMB will be reviewing.

1) Average grade must remain the same because AMB is not permitted to budget for grade-to-grade promotions in general. Increases are expected to be funded through offsetting attrition in the programs funded by direct appropriations. Franchise fund activities must fund increases from new business, or from increases in pricing. AMB will calculate the current average grade and compare it against the proposed average grade. AMB will non-concur unless AMC-1 approves reprogramming from within or from other programs to fund increases or additional resources, or unless additional resources are received from Headquarters in the direct appropriation funded programs. For franchise fund activities, a statement on the impact on recovery rates must be included. If an increase in average grade does occur, the following criteria will be evaluated by AMB:

a) Are there available resources to fund the increase within the program?

b) What impact is there, if any, in the subsequent fiscal year(s) that may be relevant?

c) What other object class would be reduced to fund the increase without jeopardizing other programs within the budget activity?

d) In franchise fund activities, what is the impact to recovery rates, or, what new business will offset the increase?

2) Positions shall not be diverted from programs that will require additional positions to be authorized for the same purpose at a later date.

3) Is the program remaining within the allowance level approved for the position, Full Time Equivalent (FTE) and End-of-Year (EOY)? If the reorganization exceeds the allowance level, AMB will non-concur unless advised that a higher-level management decision has allowed increases. A statutory or administrative limitation may not be exceeded.

4) Position changes should not result in increases in contracts or overtime unless authorized.

5) Staffing adjustments should not be made between budget activities and/or appropriations. Functions are not combined across activities or withdrawn from one activity to another without approval from Headquarters. This does not mean an organization is restricted from having more than one type of funding within a program; however, by the nature of the funding category, it is unusual for an organization to have two types of funding for the same program.

6) The number of employees in full-time permanent positions remains the same unless specific higher-level authority allows. Other specific appointments must also remain within the identified levels, unless specific authority has been granted to over-hire or to exceed the limitation.

7) Temporary positions must be reviewed since they are authorized for a specific purpose and period of time.

8) Validity of calculations will be checked. Any new budget restrictions placed on programs by AMC and/or Headquarters should be applied; e.g., restriction on the number of pay band J's and K's, or supervisory/employee ratio limitations.

9) AMB will review cost center changes to determine if they have been established in Delphi and FPPS, and will make budget line item (BLI) and cost center changes to the appropriate tables. These must be established prior to implementation. Please note that AMB cannot make BLI code changes in Delphi if the appropriate codes have not been established by the responsible focal point in the Office of the Secretary of Transportation (OST). Budget line item code changes must be approved by Headquarters and changed at that level.

10) AMB will request any required Common Accounting Numbers (CANs) associated with new cost centers. These must be established before AMH can process the reorganization in FPPS.

b. AMH will review the new position descriptions to ensure they are classifiable and to make an initial determination of the title, series, and grade of all new/revised position descriptions submitted with the reorganization, prior to the submission of the package. If AMH cannot support a classification as requested by the organization, a personnel specialist will work with the organization to redefine the duties and responsibilities and, if possible, to resolve differences in the classification area. AMH also reviews the reorganization package to determine the impact the reorganization will

have on the current employees in the organization. The organizational listing will be reviewed, position-by-position to ensure all employees in the current organization can be accommodated in the new proposed organizational structure. If all employees cannot be accommodated, AMH works closely with the organization to determine the proper placement of all employees affected by the reorganization. AMH is also responsible for ensuring the initiating organization has had union involvement in the reorganization.

c. AMC-3 will review the delegations of authority and organizational functional statements for proper documentation and for possible overlap or duplication of functions. AMC-3 will review organizational titles and routing symbols to ensure they are consistent with policy naming conventions since the terms “staff”, “office” and “group” have limited applications therefore usage cannot be applied broadly. The AC DMO determines the appropriate approval level for the reorganization package and determines requirements for transmittal of documentation to FAA Headquarters.

d. Upon completion of the review, AMC-3, AMB, and AMH will individually provide their comments of the draft package to the Reorganization Focal Point. They will also provide a copy of their comments to each of the other support organizations for purposes of coordinating information to ensure all parties are working from the most current draft.

Chapter 4: Approval and Implementation

1. Getting a Reorganization Approved. Changes identified by the support organizations during the coordination process will be incorporated by the initiating organization into the final draft package. Submit the final draft package through proper channels to the appropriate approving official (as outlined in paragraph 2 below). If an effective date has been worked out with AMH and AMB, this date should be identified in the executive summary that accompanies the package; if not, include verbiage in the executive summary as follows: “The effective date of the reorganization will be as soon as possible after the approval date of this reorganization.” The approving official will indicate approval by electronic mail (to provide an audit trail) and add his/her signature at the bottom of the executive summary, which is attached to the package. The approval must also be indicated on an official FAA Form 1300-2, Clearance Record, if the package is to be transmitted to FAA Headquarters. After approval, the ‘official package’ (with the approval indicated) will be transmitted by the approving official to the AC DMO for disposition. Copies of the approval and the package should also be forwarded to AMB, AMH and to the reorganization focal point. Upon receipt of the approval document, the AC DMO will either prepare a clearance record to transmit the package to Headquarters or handle the disposition of the package locally.

2. Final Approval Authority and Implementation. Some reorganizations may be implemented immediately and these scenarios are discussed below with approval levels identified. Reorganization changes that contain sensitive issues are discussed in paragraph 2.b. of this chapter, and may be delayed.

a. Immediate implementation for nonsensitive issues:

1) Local program directors, staff managers, and equivalents may approve reorganizations within their organizations that *do not* contain sensitive issues or movement of functions about which local management anticipates disagreements and/or non-concurrence by FAA Headquarters officials or employee unions. *No redelegations of this approval authority are allowed.* Following local approval, the approval document (signed executive summary) and the final reorganization package shall be provided to the AC DMO, with a copy to the AMB and AMH support contact points, either by electronic copy via email or hard copy. Implementation of the reorganization may begin as soon as agreement is reached with AMB and AMH on an effective date. If position descriptions are being changed in the reorganization, they will be classified during implementation.

2) If changes are not required to functional statements, routing symbols, organizational titles, or basic structure contained in Chapter 15 of Order 1100.5 series, the AC DMO will establish the official reorganization case file containing the complete reorganization package. Implementation of the reorganization may begin as soon as agreement is reached with AMB and AMH on an effective date. Submission of the package to FAA Headquarters is not required. (For example, the establishment of a position for an individual or a special staff that reports to the organizational director but is not a division with an assigned manager.)

3) Revision of Chapter 15 of Order 1100.5 series will be forwarded by the AC DMO to FAA Headquarters for the Administrator’s approval and uploaded to the Directives Management System (DMS) in the Agency’s MYFAA Employee Site at <https://employees.faa.gov/>. As a general rule,

since reorganizations normally do not contain sensitive issues, implementation may begin before the FAA Headquarters Directives Program Manager officially notifies AMC-3 that the revised order has been signed by the FAA Administrator. This applies only if functional assignments remain within an office and are not transferred externally across organizational lines and if basic Agency policies and/or philosophies are not being challenged or ignored.

b. Deferred implementation due to sensitive issues:

1) AMC-1 reserves approval authority for reorganizations containing sensitive issues about which local management disagreements and/or non-concurrence by FAA Headquarters officials; for example, if functional assignments are transferred externally across organizational lines or if basic Agency policy and/or philosophies are being challenged or ignored. Redelegations for these are discussed below. Upon approval of this type of reorganization, the complete reorganization package will be provided by the Center Director to the AC DMO who will forward the package to FAA Headquarters for executive level coordination, approval, and distribution.

2) All sensitive issues should be discussed with the Center Director on a case-by-case basis. After discussion of the issues, the Center Director may authorize local approval by the program director (or equivalent). *No redelegations are allowed.* After local approval, provide the appropriate documents to the AC DMO, as described in the previous paragraph, for Headquarters coordination at the executive level.

3) The Agency Directives Program Manager (DPM) at FAA Headquarters will notify the AC DMO when the proposed reorganization has received final approval from the Agency Administrator. The AC DMO will then notify the reorganization focal point, AMB, and AMH of the approval. Implementation may begin upon agreement of an effective date with AMB and AMH. If position descriptions are being changed in the reorganization, they will be classified during the implementation.

3. Implementing the Reorganization.

a. One of the first things that happen after a reorganization has been approved is the establishment or validation of an effective date. AMH contacts AMB, the initiating organization and the reorganization focal point to discuss when the necessary paperwork to effect personnel changes can be submitted and the amount of work that is necessary to effect the reorganization. The effective date is worked out and is identified as soon as possible after the reorganization is approved. In most cases, the effective date is the beginning of the first pay period after approval of the reorganization. However, the effective date may slip a pay period if the reorganization is approved toward the end of a pay period or if the reorganization involves extensive changes to the FPPS database. Additional impacts that may cause extended slippage are fiscal year-end close-out activities or loading new calendar year pay-adjustments, due to unavailability of personnel or systems access during these busy time periods. In limited circumstances, effective dates can be negotiated with AMB and AMH and identified in the final package.

b. Personnel changes are accomplished by submitting an SF-52, Request for Personnel Action, for each affected individual or submitting a mass change sheet for multiple employees affected by the

reorganization to AMH and AMB. Mass change sheets are used in place of individual reassignment SF-52s to make processing more efficient. AMH processes the mass change sheets and SF-52s and notifies AMB, working closely with them to ensure all changes are discussed and are made at the appropriate times. A sample Current and Proposed Position Structures format is provided in Appendix C and a Mass Change Sheet is provided in Appendix E. A sample automated version of the form is available for use, as needed; contact AMB or AMH for a copy.

c. Employees may be listed on a mass change sheet even if their title, series, or grade is not changing in the reorganization. For example, if employees are being moved from one organizational entity to another with no change in title, series, or grade, they can be listed on a mass change sheet. However, an SF-52 must be submitted for each individual in the reorganization if the title, series, or grade of the position the individual encumbers is changing. For example, if an employee is changing positions from a series 334 in pay band H to a series 301 in pay band H, an individual SF-52 will have to be submitted for the employee(s) because the series is changing.

d. Once the SF-52s or mass change sheets are submitted, AMH and AMB begin to implement the reorganization. AMH first classifies all new position descriptions involved in the reorganization and makes any organizational changes necessary in FPPS. Once AMH makes all the organizational changes, personnel changes associated with the reorganization are made. This usually involves reassignments and/or advertising new positions to be filled competitively.

e. AMB verifies the cost centers and BLI are in the Delphi tables; determines which positions can use existing common accounting numbers (CAN) and which need new CANs; checks all the data elements in existing budget numbers for necessary changes; compares limitations against the authorized number for each appropriation; and reviews required SF-52s for CAN changes or additions.

f. AMC-3 creates the official case file for the reorganization and ensures the Center's master functional statements and organization chart are updated.

g. The initiating organization is responsible for making notifications to employees, customers, liaisons, and others, regarding the changes taking place and possible effects on the following:

- 1) Locator cards or contact lists for COOP, Emergency Readiness, etc.
- 2) Directives, policy or official forms that were issued by the organization that may need to be revised due to a change in the Office of Primary Responsibility (OPR) and/or points of contact.
- 3) Personnel information contained in electronic applications/systems. The following list is not all-inclusive so the initiating organization must ensure that all potential impacts to employees, customers, and liaisons are assessed and eliminated prior to implementation by conducting a thorough assessment at the start of the reorganization process. Issues involving safety and security should be addressed as a priority, such as access to approved/restricted areas - badge and/or key changes may be required so planning ahead is crucial for employees to access appropriate work areas. Systems include, but not limited to:

- a) Electronic Learning Management System (eLMS)
- b) Lotus Notes eMail
- c) FAA Integrated National Directory (FIND)
- d) ARCHIBUS Enterprise Asset Management System
- e) Automated Inventory Tracking System (AITS)
- f) Consolidated Automated System for Time and Labor Entry (CASTLE)
- g) U.S. Department of Transportation Financial Management System (Delphi)
- h) Report, Analysis and Distribution System (RADS) for Labor Distribution Reporting (LDR)
- i) Superior Contribution Increase (SCI) System

h. The AC DMO is the subject matter expert and focal point for all Center reorganization activities that fall under the purview of the Associate Administrator for Regions and Center (ARC) Line of Business. Consult with the AC DMO for additional guidance.

Appendix A. Reorganization Checklist

- **Perform a baseline organizational analysis** to determine the need for restructuring the organization. If the need exists, conduct a formal assessment by using Appendix F. Organizational Analysis Checklist. If assistance is needed, contact AMC-3 to request analysis by a staff Industrial Engineer.
- If it is determined through analysis that the basis for restructuring the organization is sound, then **contact AMC-3 to notify the AC Directives Management Officer (DMO) of the intent to proceed** so a legal case file can be created to document the activity.
- **The initiating organization will designate a Reorganization Focal Point** to represent the organization in all aspects of the reorganization activity. This designee will officially notify the union representative of their plans and schedule a kick-off meeting with the support organizations (AMC-3, AMB and AMH) and work directly with them to resolve issues, process appropriate paperwork, and conduct weekly/ biweekly status meetings or provide updates via electronic mail. If the organization is covered by a bargaining unit agreement, reorganization activity cannot proceed until the union has approved the restructure plan.
- **Prepare a reorganization package to document the activities of the reorganization.** This includes all communications, whether in paper or electronic format (memos, email messages, etc.), organizational analysis statement, functional statements, delegations of authority, executive summary, signature approval and authority, etc.) **NOTE:** Once the reorganization is approved by the official authority, it will be given to AMC-3 for the legal case file that will eventually become the permanent property of the National Archives and Records Administration. It is important to realize this is a historical record so the file must contain all information concerning the reorganization.
- **Establish an effective date for implementation.** Avoid time critical periods such as end-of-fiscal-year closeout processing which impact budget, accounting, and acquisition personnel; and end-of-calendar-year systems processing which impact the personnel office for W-4, SCI and pay adjustments. Take into consideration holidays and resources, i.e., availability of systems and personnel to implement the reorganization. Assess all risks and plan accordingly for a successful implementation.
- **Provide an executive summary for the Aeronautical Center Director, AMC-1, via official memorandum and address all issues, per Appendix B of this order.** The reorganization cannot proceed until signature approval is received from AMC-1. This summary will be used as the cover sheet for the reorganization package. The entire package will be provided to AMC-1 for review. If approval is received, proceed with implementation. If approval is not received, forward the entire reorganization package to the AC DMO for appropriate disposition.
- **Notify employees, customers, liaisons and others regarding the changes that will be occurring and the possible effects or adverse impacts** to personnel/contact information in electronic systems, including, but not limited to: eLMS, Lotus Notes, Archibus, AITS, CASTLE, FAA Directory, etc.; POCs for COOP, Emergency Readiness; mail stops; routing symbols; OPR for forms and directives; official functions; etc. This may be accomplished with a broadcast email message or an official Notice via the FAA Directives Management Program, with distribution to appropriate offices.

Appendix B. Executive Summary Worksheet

Instructions: This document is placed on top of the reorganization package, as a cover sheet, when it is coordinated for preliminary review by the support organizations. After review and consensus to proceed, the initiating organization will revise the information contained in this document into an Executive Summary via official memorandum for submission to AMC-1. Upon approval, it will be incorporated into the case file. The following issues should be addressed; sample responses are provided.

Subject: Reorganization of the Office of: (provide organizational title and routing symbol)

- **Explanation for reorganizing and the desired outcomes.**

Sample response: Increasing span of control, improving control, increased efficiency, more effective cross-training, improved backup capabilities for these functions, etc.

- **Explanation of changes in structure and assignment of functions.**

Sample response: The two organizations will remain as is. The _____ Division is established as the “specialty group” for purchasing aircraft parts. This necessitates transferring the functions for credit card, purchase request data entry, and bid/proposal receipt to _____ from _____.

- **Identification of any increase or decrease of positions. Include discussion of any deputies and special assistants, with rationale for justification, in accordance with Order 1100.1 series.**

Sample response: There are no changes to authorized positions. While the new structure would add two GS-11 positions, the organization is decreasing three GS-9 positions.

- **Explanation of change in supervisor-to-employee ratio.**

Sample response: Current supervisor ratio for _____ is 1:13, and the ratio for _____ is 1:8. The new structure improves the ratios to 1:14 for _____ and 1:24 for _____. Increased ratio in _____ is accommodated by the elimination of two branch manager positions.

- **Explanation of changes that could impact other organizations.**

Sample response: This action will not result in an impact to other organizations.

- **Discussion of union notification and/or inclusion in meetings and coordination, as appropriate.**

Sample response: Union representatives were included in planning meetings and kept informed of changes being proposed. The union officially approved this proposal on ____ (date) ____.

Appendix C. Current and Proposed Position Structures Sample**Example 1: Current Position Structure**

Organization	Auth	EOY	Onboard	Type/Grade/Band	Position Title
AMX-100	1	1	1	GS-334-15 (K)	Supv Comp Specialist
	1	1	V	GS-334-14 (J)	Computer Specialist
	1	1	1	GS-334-13 (I)	Computer Specialist (Program Analyst)
	2	1	1	GS-334-13 (I)	Computer Specialist (System Analyst)
	4	4	3	GS-334-12 (H)	Computer Specialist (System Programmer)
AMX-100 Totals	9	8	6		
AMX-800	1	1	1	GS-334-14 (J)	Supv Computer Specialist
	1	0	0	GS-334-13 (I)	Computer Specialist (System Analyst)
	1	1	1	GS-334-13 (I)	Computer Specialist (Program Analyst)
	2	2	2	GS-334-12 (H)	Computer Specialist (Equipment Analyst)
	1	1	V	GS-326-4	Office Automation Clerk
AMX-800 Totals	6	5	4		

Acronyms:

- Auth = Authorized
- EOY = End of Year

Example 2: Proposed Position Structure

Organization	Auth	EOY	Onboard	Type/Grade/Band	Position Title
AMX-100	1	1	1	GS-334-15 (K)	Supv Comp Specialist
	1	1	V	GS-334-14 (J)	Computer Specialist
	1	1	1	GS-334-13 (I)	Computer Specialist (Program Analyst)
	2	1	1	GS-334-13 (I)	Computer Specialist (System Analyst)
	4	4	3, 1V	GS-334-12 (H)	Computer Specialist (Systems Programmer)
	1	1	1	GS-334-14 (J)	Supv Comp Specialist
	1	0	0	GS-334-13 (I)	Computer Specialist (System Analyst)
	1	1	1	GS-334-13 (I)	Computer Specialist (Program Analyst)
	2	2	2	GS-334-12 (H)	Computer Specialist (Equipment Analyst)
	1	1	V	GS-326-4	Office Automation Clerk
AMX-100 Totals	15	13	10		

Appendix D. Functional Statements Sample**Quality Systems and Business Resources Staff, AMC-3**

The Quality Systems and Business Resources Staff provides strategic and corporate business planning services and promotes international business opportunities and external relations for the Aeronautical Center. The Staff:

- a. Manages and implements international and Agency programs, national and local projects and local initiatives:
 - (1) International Aviation and Space Education (AVSED) Program
 - (2) Agency Privacy Act Program
 - (3) Agency Records Management Program
 - (4) Agency Directives Management Program
 - (5) Agency Forms Management Program
 - (6) Agency Freedom of Information Act (FOIA) Program
 - (7) Agency Core Compensation Program
 - (8) Agency Performance Management System (PMS)
 - (9) Agency Superior Contribution Increase Process (SCI)
 - (10) Aeronautical Center Quality Management System (QMS)
 - (11) Aeronautical Center Project Management Office (PMO)
- b. Is the functional contact for Agency electronic applications and Center systems:
 - (12) Electronic Learning Management System (eLMS) for training.
 - (13) FAA Electronic Document System (FEDS) for forms.
 - (14) Directives Management System (DMS) for directives.
 - (15) Knowledge Services Network (KSN) for project collaboration.

Appendix E. Mass Change Sheet Sample

Example: Personnel Reorganization Worksheet

PERSONNEL REORGANIZATION WORKSHEET

Organization: _____
 Routing Symbol: _____
 Recorganization Authority: _____
 Proposed Effective Date: _____
 ***Total number of Authorized Limitations: _____

COORDINATION:
 Originating Organization: _____
 Organization's Budget Co
 AMH-200: _____
 AMB-1: _____

[illegible]

*If the old organization is going to be deleted, be sure to speak to each position, i.e., delete, move to different organization, etc..

****Notify AMB-1 in writing of any movement or changes in authorized limitations.**

Appendix F. Organizational Analysis Checklist

Use of this checklist is suggested to aid in the analysis of the organization. Simply answering the questions with a "yes" or "no" does not constitute an analysis; however, the questions may help identify possible causes of problems and suggest areas where significant improvements can be made.

- ☐ Is the overall major pattern of the structure correctly designed in relation to the objectives and policy of the organization and to the extent and range of its activities?
- ☐ Does the pattern provide correctly and adequately for the technical and other specialist services pertinent to the effective fulfillment of policy?
- ☐ Is the subdivision of the major operating units conducive to the effective decentralization of management action, as appropriate to policy and conditions, while maintaining essential coordination?
- ☐ Does the overall structure provide the minimum number of levels in the hierarchy and consistent with decentralization?
- ☐ Has consideration been given to the adoption of a structure based on integrated divisions or units?
- ☐ Are there clear definitions of the responsibilities allocated to the operating executive positions?
- ☐ Are there clear definitions of the responsibilities allocated to the technical and other specialist service units or positions?
- ☐ Is there a correct allocation of items of responsibility within each defined position ?
- ☐ Is there content in each position adequate to provide a full and economical workload for one individual of suitable competence?
- ☐ Does the allocation of items of responsibility include "adjustments" that have been made to meet the abilities or personality of given individuals? If so, are these objectively determined and recorded (confidentially, if necessary)?
- ☐ Is the pattern of interrelationships between operating executives and staff adequately defined and known?
- ☐ Do the definitions allocated to operation executives include their responsibility for the application of policies intended to apply throughout the enterprise, for example, quality of service and personnel policies?
- ☐ Do the definitions of responsibilities cover all the major executive positions and responsible staff specialist positions?

- ☐ Has regard been paid to determining an adequate span of responsibility, especially at the higher and intermediate levels of the structure?
- ☐ Does the pattern and content of the definitions provide adequately for essential formal coordination (as distinct from the natural informal relations of cooperation)?
- ☐ Has consideration been given to the need for committees or other formal meetings for purposes of coordination or consultation?
- ☐ If committees or meetings have been established, have their purposes, constitutions, memberships, procedures, etc., been systematically incorporated?
- ☐ Have the concerned members been notified of the nature of their participation?
- ☐ In drafting the pattern and content of responsibilities, has due regard been paid to ensuring adequate delegation, with known appropriate authority and, consequently, encouragement to mature initiative within the allotted jurisdiction?
- ☐ For each position, is it clear to the holder to whom he/she is responsible, and who is responsible to him/her?
- ☐ If, for specific reasons in a given position, the employee is to have responsibility to two superiors, are the facts of the respective responsibilities and the reasons supporting them clear?
- ☐ Do the definitions clearly provide responsibility for the control of performance as the counterpart to acceptance of delegated authority?
- ☐ If there are specific limitations imposed on the authority allotted to any positions, are these clearly specified and are the reasons objectively sound?
- ☐ Has provision been made for periodic review and/or occasional revision of the pattern to ensure reasonable conformity with current conditions?
- ☐ Has provision been made for "thinking ahead" in regard to organization matters so that sound, smooth development can be ensured to meet major changes in policy and conditions?

Appendix G. List of Acronyms, Abbreviations and Routing Symbols

AC DMO - Aeronautical Center Directives Management Officer

AITS - Automated Inventory Tracking System

AMB - Office of Budget and Performance Management

AMC-1 - Office of the Director, Mike Monroney Aeronautical Center

AMC-3 - Quality Systems and Business Resources Staff

AMC-700 - Security and Investigations Division

AMH - Office of Human Resource Management

CAN - Common Accounting Number

CASTLE - Consolidated Automated System for Time and Labor Entry

Delphi - U.S. Department of Transportation Financial Management System

DMS - Directives Management System

DPM - Directives Program Manager

eLMS - Electronic Learning Management System

EOY - End-of-Year

FIND - FAA Integrated National Directory

FPPS – Federal Personnel and Payroll System

FTE - Full-Time-Equivalent

LDR - Labor Distribution Reporting

OST - Office of the Secretary of Transportation

NARA - National Archives and Records Administration

RADS - Report, Analysis and Distribution System

SCI - Superior Contribution Increase