

**DEPARTMENT OF THE INTERIOR  
MINERALS MANAGEMENT SERVICE MANUAL**

TRANSMITTAL SHEET

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Release No. 311

Effective Date: March 26, 2008

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SUBJECT:    Organization Series  
              Part 101 Organization Management  
              Chapter 1 Organization Changes

EXPLANATION OF MATERIAL TRANSMITTED:

This manual chapter updates the policy and procedures that govern organization changes in the Minerals Management Service.

/S/  
Randall Luthi  
Director

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FILING INSTRUCTIONS:

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OPR: Chief of Staff, Administration and Budget  
Date: March 26, 2008

**Department of the Interior  
Minerals Management Service**

**Effective Date:** March 26, 2008

**Release No.:** 311

**Series:** Administrative

**Part 101:** Organization Management

**Chapter 1:** Organization Changes

**Originating Office:** Chief of Staff, Administration and Budget

1. **What is the reason for this chapter?** This chapter contains the policy and procedures that govern organization changes in the Minerals Management Service (MMS). It supplements Part 101 of the Departmental Manual.

2. **What is an “organizational change”?** An organizational change is any change in the established structure of any organizational component. This includes the establishment, abolishment, or change in the title of a component, the transfer of significant functions from one component to another, or the revision of servicing areas or boundaries.

3. **Why do we need this chapter?** This chapter is being issued to help you, the MMS manager, establish and maintain sound organizational structures so you can effectively manage your functions and accomplish departmental and MMS goals and objectives. Also, these procedures allow you flexibility in the reorganization process while ensuring compliance with general parameters.

4. **What are the authorities governing organization management?**

A. Departmental Manual (101 DM) is the definitive authority in the Department of the Interior on organization management.

B. OMB Circular A-105 requires that bureaus with field organization structures comply with regional boundaries, sub-boundaries, and headquarters cities.

5. **Are there distinctions that need to be made when processing organizational changes?**

Yes. Some organization changes may be approved within the MMS, while others require departmental approval. Processes for each level vary somewhat.

6. **Who approves the respective levels?**

A. MMS Associate Directors (AD) have been delegated authority to approve organizational changes, with the review and concurrence of the AD for Administration and Budget (A&B), below the Headquarters Division levels or equivalent and within the Regions (see the exception in C., below).

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B. Departmental officials approve any proposed organizational changes at the Division level

or equivalent and above, whether final or interim, which changes the organization's description as published in 118 DM.

C. Departmental officials approve any changes involving the opening, closing, or relocating of any permanent field organization below the level described in 118 DM.

7. **What is A&B's role in organization approval?**

A. The AD for A&B (ADAB) is responsible for the organization analysis activities in the MMS and has review and concurrence responsibility for all proposed MMS reorganizations. Fulfilling that responsibility, A&B staff provide MMS managers guidance on sound organizational and human resources issues; are responsible for documentation of the MMS organization; and ensure that departmental policy and requirements are met and necessary approvals are obtained. The A&B is also responsible for implementing the administrative aspects of the approved organizations.

B. The Chief of Staff, A&B facilitates a coordinated formal review of reorganization proposals with all affected MMS and departmental organizations, as required. Areas reviewed will include position management issues, supervisory ratios, skill mixes, and potential adverse personnel impacts; congressional interests; compliance with organization management requirements; and any required union notification.

8. **What should I do first in planning organization changes?** All organization changes must be consistent with the provisions of this chapter and departmental policy. Therefore, it is strongly recommended that when contemplating organizational changes you consult these chapters in the early planning stage. (See 4. above.)

A. You should structure organizations for effectiveness and efficiency and provide sound human resources management. You should also consult with the Chief of Staff, A&B's Office in the initial planning phase in order to identify any potential issues as well as to ensure that the new organization meets all of the MMS and Department requirements. *Such exchanges will minimize processing time of final approval/concurrence documentation and mitigate any problems which might result from a reorganization.* The Chief of Staff, A&B will facilitate guidance on all administrative considerations and will establish the contact between the Program and the local servicing Human Resources office. Guidance will include the following:

- (1) Documentation requirements;
- (2) Personnel-related issues;
- (3) Responsibilities to local unions;
- (4) Space requirements;

- (5) Extenuating circumstances which might impact public or congressional relations; and
- (6) Alternative structures, if necessary.

B. You should solicit organizational design suggestions and comments on reorganization proposals from affected staffs. Remember also to provide closure on disposition of suggestions received.

9. **What do I have to do to get a change approved?** (See Appendix 1 for Process Checklist.) Once you have defined a new structure using the procedures described in 8. above, your AD must forward a reorganization proposal to the Chief of Staff, A&B.

A. **For changes to be approved within MMS:** The reorganization proposal for changes to be approved within the MMS includes the following documents which must be submitted in hard copy. *Note that no covering memorandum is needed.*

- (1) **Form DI-228, Clearance Record**, signed in block 6 by the responsible AD. *This signature indicates the AD is approving the reorganization, and is forwarding the proposal to A&B for its concurrence before implementation.*
- (2) **Justification for Change**. Include a brief description of the functions of the organization, pertinent changes from the current organization, and the rationale for making the change, such as consistency with strategic goals. This could include cost/efficiency measures.
- (3) **Staffing Plans**. Include staffing plans for the current and planned organizations to include title, grade (career ladder), and occupational series for each full-time and part-time position in each component. Staffing plans should be consistent with sound position management and should reflect the ideal organization. *Staffing plans should not contain names.*
- (4) **Organization Chart**. Provide a chart showing the relationship of the component(s) to a Division or equivalent field-level organization.
- (5) **Functional Statements**. Attach functional statements giving the primary responsibilities of the organization down to and including Branch or equivalent field level.
- (6) **Provisions for Automatic Succession**. If a reorganization changes the names of any position or office title that is contained in an organization's current automatic succession listing (see MMSM 302.1), a revised listing will need to be submitted.

B. **For changes requiring departmental approval:** The following are documents needed to obtain departmental approval. Documents must be submitted in *both hard copy and as an electronic file* prepared in the standard MMS word processing software. *Note that no covering memorandum is needed.*

- (1) Form DI-228, Clearance Record, signed in block 6 by the responsible AD. *This signature indicates the AD is requesting the reorganization proposal be forwarded through the MMS Director to the Department for approval.*
- (2) Justification for Change. Include a brief description of the functions of the organization, pertinent changes from the current organization, and the rationale for making the change, such as consistency with reengineering goals. This could include cost/efficiency measures. (See 101 DM 3.)
- (3) Organization Chart. Provide a chart showing the relationship of the component(s) to the program level, i.e., show the Division level. Charts should be created in a standardized software, convertible to a .jpg or .gif file. (See 101 DM 3.)
- (4) Departmental Manual Release. Include an organization statement in the form of a Departmental Manual Release revising the respective 118 DM chapter. The Departmental Manual can be accessed at <http://elips.doi.gov/>; the 118 DM chapters reflect the current approved MMS organization. You need to provide the Manual Release in hard copy and in electronic file. Also, you may need to provide a:
- (5) Staffing Pattern Matrix (see Illustration 1). The Chief of Staff, A&B will advise on a case-by-case basis as to the need for this matrix. (See 101 DM 3.)
- (6) Provisions for Automatic Succession. If a reorganization changes the names of any position or office title that is contained in an organization's current automatic succession listing (see MMSM 302.1), a revised listing will need to be submitted.

10. **How long does the A&B review take?**

A. Assuming there has been consultation with A&B in the initial planning stage, see 8A., above, the A&B review and concurrence of the final reorganization proposal should be expeditiously processed. The Chief of Staff, A&B will consult with relevant A&B organizations and recommend concurrence by the ADAB by signing in block 6 of the Form DI-228. The A&B review and concurrence process should take only a few days.

B. In instances where there has been no or little consultation with A&B, the A&B review may require up to 4 weeks. This will allow time for the various A&B organizations to receive the proposal, review it, share it with the union representative, if warranted, and provide comments to the Chief of Staff, A&B; then, for the Chief of Staff, A&B to analyze, accept or decline comments, and either forward to the ADAB for concurrence or compile a coordinated comment.

11. **What happens after A&B concurs in a reorganization proposal?**

A. **For changes approved within MMS:** After appropriate A&B review, the Chief of Staff, A&B will sign in block 6 of the DI-228 (also, see 12., below) and forward to the ADAB for concurrence. After concurrence by the ADAB, the Chief of Staff, A&B will return the proposal to the submitting AD and provide copies of the reorganization proposal to all relevant A&B organizations showing the program approval and A&B concurrence. A&B servicing Human Resources offices will work with the respective organization to implement the approved organization.

B. **For changes approved by departmental officials:** Once A&B has reviewed and recommend concurrence in a reorganization proposal, the Chief of Staff, A&B will develop a formal transmittal memorandum and a new DI-228 sending the proposal from the Director, MMS, through the Assistant Secretary for Land and Minerals Management, to the Assistant Secretary for Policy, Management and Budget. The memorandum will transmit the appropriate documents (see 9B., above) for departmental review and approval. A&B staff will remain in frequent contact with departmental staff and will provide or obtain from the respective Program any additional information requested before departmental approval.

12. **What happens after the Department approves a reorganization proposal?** Upon approval by the Department, copies of the original signature document will be provided to the submitting Program AD and all affected servicing A&B offices/staffs by the Chief of Staff, A&B. The official record will be filed in the Chief of Staff, A&B's office. *If a substructure is to be effected, the respective AD will approve and submit documentation as described in 8A., above, **For changes to be approved within the MMS,** and will be processed in accordance with 9. and 11., above.*

13. **Is there a follow-up on whether all implementation actions have been completed?** Yes. Within an appropriate time of implementation, the Chief of Staff, A&B will confirm that all implementation steps have been taken, and will routinely assess the effectiveness of the process through follow-up on approved organizations.

## ORGANIZATION PROCESS RECAP

| PROCESS<br>(with responsible official <sup>1</sup> )  | MMS<br>APPROVAL | DOI<br>APPROVAL |
|---|-----------------|-----------------|
| <b>PR:</b> Contact the Chief of Staff, A&B (703-787-1429) to informally discuss a range of administrative considerations  | X               | X               |
| <b>PR:</b> Provide opportunity, as appropriate, for affected Program staff review and comment   | X               | X               |
| <b>PR:</b> Work with servicing Human Resources office, as facilitated by Chief of Staff, A&B, to ensure appropriateness and minimum administrative/human resources impact   | X               | X               |
| <b>PR:</b> Develop final proposal and required documentation<br><br><b>AD:</b> Sign DI-228 APPROVING REORGANIZATION and transmitting the following to the Chief of Staff, A&B:<br>Justification for Change<br>Staffing Plans<br>Organization Chart<br>Mission and functional statements described to Branch (or field equivalent) level<br>Automatic Succession List, if necessary  | X<br><br>X      |                 |
| <b>PR:</b> Develop final proposal and required documentation<br><br><b>AD:</b> Sign DI-228 REQUESTING FORWARD OF REORGANIZATION TO DEPARTMENT and transmitting the following in hard copy and electronic form to the Chief of Staff, A&B (see 101 DM 3):<br>Justification for Change<br>Organization Chart<br>DM Chapter<br>Staffing Pattern Matrix (see Illus. 1), if necessary<br>Automatic Succession List, if necessary |                 | X<br><br>X      |
| <b>COS:</b> Provide copies to all affected A&B organizations for review and consolidate comments;<br><b>ADAB:</b> Concur  | X               | X               |
| <b>COS:</b> Return concurrences to approving ADs, with copies to all affected A&B organizations <u>OR</u><br><b>COS:</b> Prepare memorandum for Director's signature and related documents forwarding proposal to the Department  | X               | X               |
| <b>SHROs:</b> Work with respective Program to implement MMS approved organizations  | X               |                 |
| <b>COS:</b> Maintain contact with departmental staff and provides additional information as requested   |                 | X               |
| <b>DOI:</b> After appropriate review and notification, approve organization proposals affecting 118 DM and select other situations (see MMSM 101.6C)  |                 | X               |
| <b>COS:</b> Return departmental approvals to submitting ADs, with copies to all affected A&B organizations  |                 | X               |
| <b>AD:</b> Implement approved organization with SHRO. <u>OR</u> If lower level organization changes warranted, submit approving documentation to A&B for concurrence [continue A&B process as described above for MMS approved organizations]   |                 | X               |

<sup>1</sup> PR = Program representative preparing organization proposal; COS = Chief of Staff, A&B; SHRO = Servicing Human Resources Office; AD = Responsible Program Associate Director; ADAB = Associate Director for A&B; DOI = Department of the Interior officials

**SAMPLE OF STAFFING PATTERN MATRIX**  
Administrative Services

|                           |                   | PROPOSED ORGANIZATION                  |           |                                |                                     |     |  |                      |
|---------------------------|-------------------|--|-----------|--------------------------------|-------------------------------------|-----|--|----------------------|
| Current Organization      | Current Positions | Associate Director for Admin. Services | Personnel | Mgmt. and Fiscal Services Div. | Contracting and Property Mgmt. Div. | EEO | Positions to Units Outside Proposed Organization | Positions Eliminated |
| Assoc. Dir., Admin.       | 1                 | 1                                      |           |                                |                                     |     |  |                      |
| Dep. Assoc. Dir., Admin.  | 1                 |  |           |                                |                                     |     |  | 1                    |
| EEO                       | 4                 |  | 1         |                                |                                     | 3   |  |                      |
| Personnel                 | 4                 |  | 4         |                                |                                     |     |  |                      |
| Budget                    | 6                 |  |           | 5                              | 1                                   |     |  |                      |
| Finance                   | 4                 |  |           | 4                              |                                     |     |  |                      |
| Org. & Methods            | 6                 |  |           | 6                              |                                     |     |  |                      |
| Contracting & Prop. Mgmt. | 6                 |  |           |                                | 4                                   |     | 1*   | 1                    |
| Subtotal                  | 32                | 1                                      | 5         | 15                             | 5                                   | 3   | 1  | 2                    |
|                           | New Positions     |  | 1         |                                |                                     |     |  |                      |
|                           | Total             | 1                                      | 6         | 15                             | 5                                   | 3   | 30   |                      |

\*For positions transferred outside of the proposed organization, use an asterisk beside the number and footnote the name of the receiving unit(s).

Note: For each row, the sum of the numbers to the right of the "Current Positions" column (number in the "Proposed Organization" plus number "Transferred" and/or "Eliminated") should equal the number in the "Current Positions" column.

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