

Transition of Organizational Change Request (OCR) Process

- 1. PURPOSE:** This notice amends existing policy in the Department of Veterans Affairs (VA) Directive 0213, Organizational Changes Policy and announces transition of the organizational change request process and associated policies from the Office of Enterprise Integration (OEI) to the Office of Human Resources and Administration/Operations, Security and Preparedness (HRA/OSP). This transition, which was recently piloted, will facilitate a streamlined approach to VA organizational changes. The goal of this transition is to eliminate redundancies and clearly define roles and responsibilities so that changes are efficiently processed.
- 2. POLICY:** VA's Manpower Management Service (MMS) in HRA/OSP will serve as the single-entry point for organizational change requests. Pending the release of revision to VA Directive 0213, Organizational Changes Policy within the next 12 months, all VA organizations shall follow the attached guidance when pursuing organizational changes. In its new role, VA MMS will work with your servicing HR Offices to ensure that requested changes are processed in the human resources (HR) and organizational structure system of record (i.e., HR·Smart) and coordinate consultations. In the interim, the attached [Organizational Change Approval Authority Matrix](#), [VA Organizational Change Request \(OCR\) Process](#) and [VA Organizational Change Request Responsible, Accountable, Consulted and Informed \(OCR RACI\)](#) amends Sections 3. Policy and 4. Responsibilities, as well as Appendix B, Consultation Matters Checklist, of VA Directive 0213, Organizational Changes Policy.
- 3. RESPONSIBLE OFFICE:** Office of Human Resources and Administration/Operations, Security and Preparedness (HRA/OSP) (006), Manpower Management Service (HRA/OSP-006MMS).
- 4. REFERENCES:**

 - a. [38 USC 510, Authority to Reorganize Offices.](#)
 - b. [VA Directive 0213, Organizational Changes Policy.](#)
- 5. RESCISSION:** This notice amends existing policy. Guidance will be incorporated into revised Directive 0213, no later than one year after the date of publication.

**Department of Veterans Affairs
Washington, DC 20420**

**VA NOTICE 24-15
May 20, 2024**

CERTIFIED BY:

**BY DIRECTION OF THE SECRETARY
OF VETERANS AFFAIRS:**

/s/
Guy T. Kiyokawa
Assistant Secretary for
Enterprise Integration

/s/
Cassandra M. Law
Assistant Secretary for
Human Resources and Administration/
Operations, Security, and Preparedness

DISTRIBUTION: Electronic Only

Organizational Change Approval Authority Matrix

Use matrix in conjunction with VA Directive 0213 paragraph 3, Policy, subparagraphs c, d, and e, to understand various levels of approval, consultation, documentation, and communication guidance to tier OCR types.

Tier*	Package Requirements**	Approval Level***	Governance Impact	Required Coordination	Offices to Inform
Tier 1 – Organizational change within a single Administration or Staff Office	– Business case memo – Current and proposed organizational charts – OCR Excel templates – Draft mission statements	– Key principal	Maybe. May require governance board review if request changes mandated function, politically sensitive, or meet Congressional notification and/or Notice & Wait or Report & Wait criteria	– VA MMS – Servicing HRO – LMR, if union notification required – CSEMO, if SES added – OGC, if Congressional notification required – OM, to ensure changes do not impact financial accounting – OEI, for governance determination and assistance	– OEI/Policy Management and Analysis (PMA)
Tier 2 – Changes that cross between key principals (i.e., Administrations, Staff Offices)	– Executive decision memo (business case memo) signed by impacted key principals with details on organizational changes – Current and proposed organizational charts – OCR Excel templates – Draft mission statements	– Impacted key principals or Deputy Secretary (signature authority to be determined by the appropriate governance board)	Maybe. Requires governance board review if the request is a change in a mandated function, politically sensitive, or meet Congressional notification and/or Notice & Wait or Report & Wait criteria	– VA MMS – Servicing HRO – LMR, if union notification required – CSEMO, if SES added – OGC, if Congressional notification required – OM – OEI, for governance determination and assistance	– Under Secretaries, Assistant Secretaries and Other Key Officials – OEI/Policy Management and Analysis (PMA)
Tier 3 – Requires Congressional notification – Major program or mission change – Is politically sensitive (i.e., directly impacts Veterans)	– Executive decision memo (business case memo) signed by key principal with details on organizational changes – Current and proposed organizational charts – OCR Excel templates – Draft mission statements – Draft Congressional notification to be signed by SECVA	– SECVA	Yes, OEI determines appropriate governance board for review	– VA MMS – Servicing HRO – LMR – CSEMO – Governance body (i.e., VAOB, VAEB, IRC) – Executive Secretariat – SECVA – HRA/OSP – OEI – OCLA – OPIA – OGC – OM – OIT	– Under Secretaries, Assistant Secretaries and Other Key Officials – OEI/Policy Management and Analysis (PMA)

* Administrative name changes are not an organization change request but must get routed through manpower and OEI/PMA for data system changes.

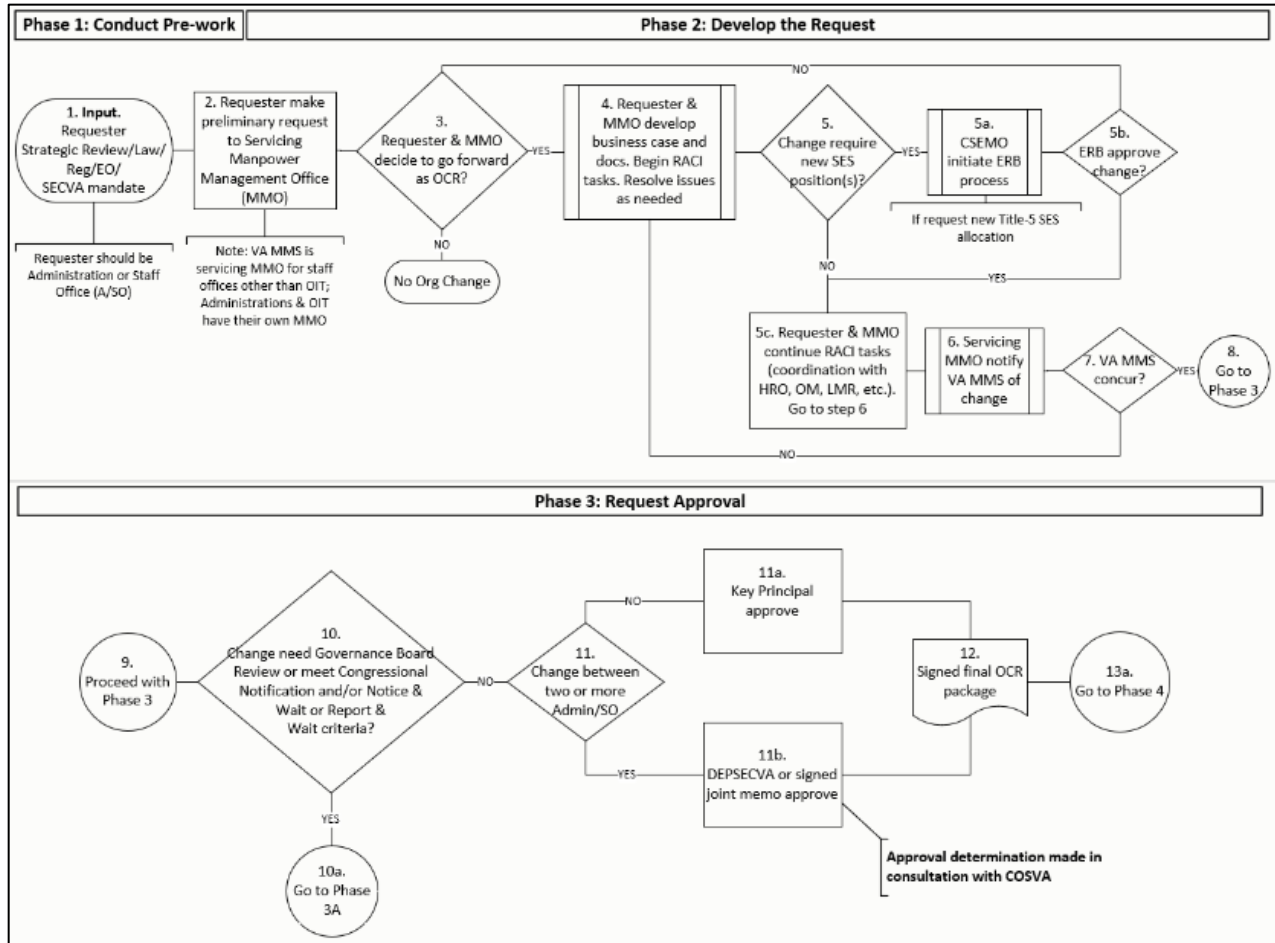
** Organizations must follow [38 U.S.C. 510 Notice & Wait \(VACO only\) or Report & Wait \(field only\)](#) requirements.

*** Higher level approval may be required, depending on the scope of changes and impact on mandated functions or services provided directly to Veterans.

**** Congressional notification may be required under 38 U.S.C. 510 or current appropriations authority.

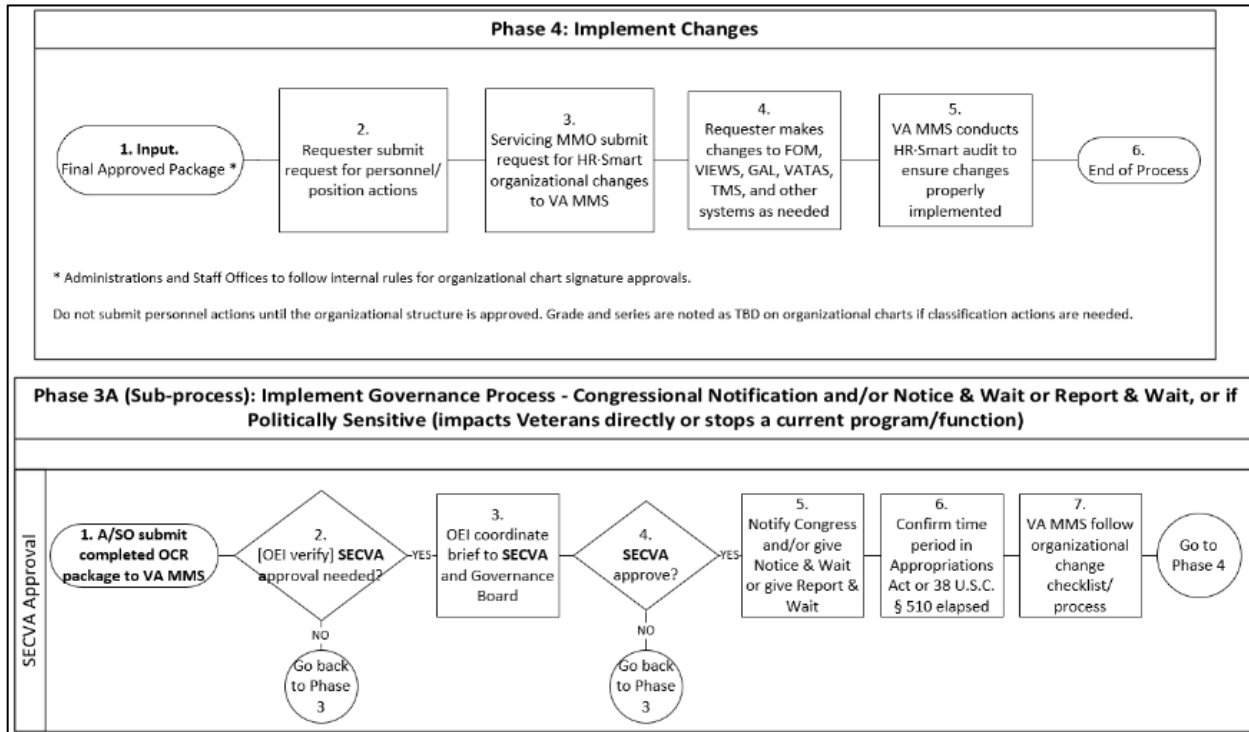
VA OCR Process. Phase 1: Conduct Pre-work through Phase 3: Request Approval

Use VA OCR Process flowchart to supplement VA Directive 0213 paragraph 3, Policy, subparagraphs d, f, g, and h to understand process steps to develop, approve, and implement organizational changes.



VA OCR Process (continued). Phase 3A: Implement Governance Process through Phase 4: Implement Changes

Use VA OCR Process flowchart to supplement VA Directive 0213 paragraph 3, Policy, subparagraphs d, f, g, and h to understand process steps to develop, approve, and implement organizational changes.



OCR Responsible Accountable Consulted Informed (RACI) Chart

Use the below RACI chart as a checklist to ensure key actions are completed during each OCR Process Phase. Each letter of the acronym represents the level of ownership involved for each function and task. These levels are described as:

- R = Responsible:** The person who performs the work. There must be one “R” on every row, no more and no less. “R” is the only letter that must appear in each row. **The exception is CSEMO as this office is also an HRO.**
- A = Accountable:** The person ultimately accountable for the work or decision being made. Use this letter where appropriate, but not to excess – only when a key decision or task is at hand. There can be from zero to one “A” in each row, but no more than one. **The exception is CSEMO as this office is also an HRO.**
- C = Consulted:** Anyone who must be consulted with prior to a decision being made and/or the task being completed.
- I = Informed:** Anyone who must be informed when a decision is made, or work is completed.

Function and Tasks	Requester	Servicing Manpower Ofc	VA MMS	OM - Budget or Appropriate Finance Ofc	Servicing HRO	CSEMO	OEI	OGC	OCLA	Executive Secretariat
Phase 1: Conduct Pre-work										
1.1. Complete strategic review to determine most efficient structure	A	R	C	C	I	I				
1.2. Coordinate with Resource/Position Management Committee/Coordinator (if applicable)	A	R								
Phase 2: Develop Request for Signature										
2.1. Develop OCR										
2.1.1. Draft business case (unsigned)	A	R	C							
2.1.2. Develop HR Smart baseline position info	A	R	C		C					
2.1.3. Develop functional organizational charts	A	R	C		C					
2.2. Conduct Review										
2.2.1. Consult on personnel/HR issues with proposed structure	A	R			C	C				
2.2.1.1. Provide list of personnel issues to resolve before functional org chart approval	R	I			A	A				
2.2.1.2. Resolve critical issues, e.g., potential adverse actions	A	I			R	R				

Function and Tasks	Requester	Servicing Manpower Ofc	VA MMS	OM - Budget or Appropriate Finance Ofc	Servicing HRO	CSEMO	OEI	OGC	OCLA	Executive Secretariat
2.2.1.3. Develop internal timeline e.g., develop PD, notify employees	A	C			R	R				
2.2.1.4. Coordinate with LMR for bargaining unit impacts	A	C			R					
2.2.1.5. Advise review is complete	A	I			R	R				
2.2.2. Require new SES position?										
2.2.2.1. If No, go to step 2.2.3.	R/A	I				C				
2.2.2.2. If Yes, consult on SES positions/ employees	R/A	I				C				
2.2.2.1.1. Initiate ERB process	R/A	I				C				
2.2.2.1.1.1. ERB approve? If Yes, go to step 2.2.2.2.	R/A	I				C				
2.2.2.1.1.2. If No, return to step 1.1.	R/A	I				C				
2.2.2.2. Advise review is complete	R	I				A				
2.2.3. Need funding change?										
2.2.3.1. If No, go to step 2.3.	R/A	I								
2.2.3.2. If Yes, consult on funding changes	R/A	I		C						
2.2.3.2.1. Provide approval for over execution of funding or movement of funds between organizations, if applicable	A	C		R						
2.2.3.2.2. Coordinate action to request change in appropriations through budget process, if applicable. Do not proceed until Appropriations transferred.	A	C		R						
2.3. Review Governance Indicators										
2.3.1. Potentially meet criteria under Appropriations Act Notification and/or Notice & Wait or Report & Wait requirements?										
2.3.1.1. If No, consult not needed. Go to step 2.3.2.	R/A	C	I							
2.3.1.2. If Yes, potentially meet criteria, get Congressional Notification and/or Notice & Wait or Report & Wait consult	R/A	C	I				C	C		
2.3.1.2.1. If decision is <u>no</u> notification or detailed report required, go to step 2.3.2.	R	I	I				C	A		

Function and Tasks	Requester	Servicing Manpower Ofc	VA MMS	OM - Budget or Appropriate Finance Ofc	Servicing HRO	CSEMO	OEI	OGC	OCLA	Executive Secretariat
2.3.1.2.2. If decision made is <u>yes</u> Congressional Notification and/or Notice & Wait or Report & Wait IS required, must implement Phase 3A. Governance Process before Phase 4 Implementation. First, go to step 2.3.2.	R	I	I				C	A		
2.3.2. Potentially create/eliminate mandated program/function or politically sensitive?										
2.3.2.1. If no consult needed because potential criteria not met, go to step 2.4.	R/A	C	I							
2.3.2.2. If yes, consult is needed because criteria are potentially met, get consult for if Governance Board Review is required.	R/A	C	I							
2.3.2.2.1. If decision made that Governance Board Review is NOT required, go to step 2.4.	R	I	I				A			
2.3.2.2.2. If decision made that Governance Board Review IS required, complete remainder of Phase 2 and begin Phase 3 prior to Phase 3A. Implement Governance Process.	R	I	I				A			
2.4. Update Business Case/Executive Decision Memo and Required Documents	A	R	I							
Phase 3: Request Approval										
3.1. Determine Approval Authority Level										
3.1.1. Did OGC advise during Phase 2 consult that there are Congressional Notification and/or Notice & Wait or Report & Wait requirements prior to org implementation?	R/A	I	I		I	I				
3.1.1.1. If No, OGC advised there are <u>no</u> Congressional Notification and/or Notice & Wait or Report & Wait requirements, go to step 3.1.2.	A	R	I		I	I				
3.1.1.2. If Yes, advised there <u>are</u> Congressional Notification and/or Notice & Wait or Report & Wait requirements, SECVA is the Approval Authority. Go to Phase 3A Governance Process for SECVA Approval.	A	R	I		I	I				
3.1.2. Did OEI advise during Phase 2 consult that the org change requires Governance Board Review prior to org implementation?	A	R	I		I	I				

Function and Tasks	Requester	Servicing Manpower Ofc	VA MMS	OM - Budget or Appropriate Finance Ofc	Servicing HRO	CSEMO	OEI	OGC	OCLA	Executive Secretariat
3.1.2.1. If No, OEI advised that <u>no</u> Governance Board Review is required, go to step 3.1.3.	A	R	I		I	I				
3.1.2.2. If Yes, OEI advised Governance Board Review <u>is</u> required, higher approval authority may be needed. Go to Phase 3A Governance Process.	A	R	I		I	I				
3.1.3. Is org change across two or more Admin/Staff Office?	A	R	C							
3.1.3.1. If No, go to step 3.2.	A	R	C							
3.1.3.2. If Yes, change is across two or more Admin/Staff Office, then either the DEPSECVA or a Joint Memo is required for Approval Authority. Coordinate the COSVA Approval Authority decision through OEI.	A	R	I	C			C			
3.1.3.2.1. If OEI coordination results in COSVA decision that a Joint Memo is appropriate, then impacted Key Principals are the Approval Authority. Go to step 3.2.	R	I	I				A			
3.1.3.2.2. If OEI coordination results in COSVA decision that DEPSECVA is the Approval Authority, a DEPSECVA package is needed.	R	I	I				A			
3.1.3.2.2.1. Develop package for DEPSECVA signature.	R/A	I								C
3.1.3.2.2.2. Route package to get DEPSECVA signature. Proceed to step 3.2.2.	R	I								A
3.2. Finalize OCR Package										
3.2.1. Key principal(s) sign memo.	A/R	I	I							
3.2.2. Submit OCR to VA MMS. Include data change documentation with sufficient info to enable HR-Smart and Finance Systems update approval.	A	R	I		I	I				
3.3. Resolve Issues	C	R	A		C	C				
3.4. Complete checklist	A	R	C		I	I				
Phase 3A. Implement Governance Process: Congressional Notification and/or Notice & Wait or Report & Wait or if Politically Sensitive (Impacts Veterans directly or stops a current program/function)										
3A.1. Initiate Governance Process with OEI consult	A	R	I				C	C	C	
3A.2. Draft Congressional notification. Submit in VIEWS	A	R	I				C	C	C	C

Function and Tasks	Requester	Servicing Manpower Ofc	VA MMS	OM - Budget or Appropriate Finance Ofc	Servicing HRO	CSEMO	OEI	OGC	OCLA	Executive Secretariat
3A.3. Brief Evidence-Based Policy Council (EBPC), if needed	A	I	I	C			R			
3A.4. Brief and obtain approval from VA Executive Board (VAEB), if needed	A	I	I				R			
3A.5. Brief VA Operations Board (VAOB), if needed	A	I	I				R			
3A.6. Brief Investment Review Committee (IRC), if needed	A	I	I	C			R			
3A.7. Submit executive decision memorandum to SECVA for decision to move forward with change, if required	A	I	I				R	I	I	C
3A.8. Ensure notification letter sent to Congress	R	I	I				I	I	A	
3A.9. After Notification and/or Notice & Wait or Report & Wait requirements met , start personnel actions at step 4.1.	R	I	I		A	A				
3A.10. After Notification and/or Notice & Wait or Report & Wait requirements met , start HR Smart organization changes in step 4.2.	R	C	A		I	I				
Phase 4: Implement Changes										
4.1. Submit personnel action request for personnel/position actions to Servicing HRO	R	I	I		A	A				
4.2. Submit position change request for HR Smart organizational changes to VA MMS	I	R	A		I	I				
4.3. Complete HR Smart organizational changes	I	R	A		C	C				
4.4. Provide personnel action timeline to Requester	A	C	I		R	R				
4.5. Complete personnel actions - classification actions, position, and employee data changes. Include update to Reports To data fields for positions and employees.	C	R	I		A	A				
4.6. Ensure that changes to the financial management system of record (FMS or iFAMS) are in place.	A		C	R						
4.7. Update FOM, VIEWS, GAL, VATAS, TMS, etc.	R/A	C	I							
4.8. Conduct HR Smart audit. Ensure changes are correct.	C	R	A		I	I				