ADS Chapter 102

Agency Organization

Functional Series 100 – Agency Organization and Legal Affairs
ADS 102 – Agency Organization
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This chapter has been revised in its entirety.

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ADS 102 – Agency Organization

102.1   OVERVIEW
Effective Date: 06/27/2017

The U.S. Agency for International Development (USAID) is the lead U.S. Government agency that works to end extreme global poverty and enable resilient, democratic societies to realize their potential. USAID is organized around country development programs managed by USAID Missions overseas, supported by USAID/Washington (USAID/W).

The purpose of this ADS chapter is to establish policies for USAID's organizational structure and to define and describe the requirements and procedures for establishing, abolishing, and changing USAID organization units.

USAID's current organizational structure can be found on the **Agency's Web site**.The functional statements or organizational responsibilities and authorities assigned to each major component of the Agency are described in **ADS 101, Agency Programs and Functions**.

102.2   PRIMARY RESPONSIBILITIES
Effective Date: 06/27/2017

a.   The **Administrator (A/AID)** approves USAID organization changes involving major functional transfers between Bureaus/Independent Offices (B/IOs) and/or overseas Operating Units and changes that establish or eliminate an organization reporting directly to the Administrator. Any organizational change that requires a Congressional Notification (CN) must be approved by the Administrator. In addition, the Administrator approves proposals to establish or close Missions/Offices/Senior Development Advisor (SDA) after plans have been cleared by the Chief Human Capital Officer (CHCO) in the Office of Human Capital and Talent Management (HCTM).

b.   The **Chief Human Capital Officer (CHCO), Office of Human Capital and Talent Management (HCTM)**, is responsible for:

(1) Approving organizational changes that involve functional transfers within B/IOs and overseas Operating Units (this includes realignments, minor reorganizations, organizational name changes, and functional statement updates);

(2) Clearing organizational changes that require a higher level of approval by the Administrator, which impact other B/IO's and/or overseas Operating Units;

(3) Advising the Administrator on organizational matters within the purview of HCTM;

(4) Providing day-to-day executive direction and leadership on Agency human

capital programs and operations; and

(5) Coordinating closely with and advising appropriate stakeholders within the Agency on organizational changes.

c. The **Office of the Inspector General (OIG)** plans, reviews, and approves USAID Office of Inspector General (OIG) organizational changes, in consultation with the Office of Human Capital and Talent Management, Office of Workforce Policy, Planning and Systems Management, Workforce Planning Division (HCTM/PPSM/WPP).

d. The **Assistant Administrator, Bureau for Management (AA/M),** is responsible for:

(1) Approving requests for additional budget, physical space, and/or Information Technology (IT) created by organizational changes;

(2) Clearing changes of USAID/W organization units that impact other B/IOs and/or overseas Operating Units;

(3) Clearing organizational changes that require a higher level of approval by the Administrator, which impact other B/IOs and/or overseas Operating Units;

(4) Advising the Administrator on organizational matters within the purview of the Bureau for Management;

(5) Initiating changes as a function of the Agency's organization management program; and

(6) Representing the Agency before the Office of Management and Budget (OMB), other Federal agencies, Congress, and the public on matters pertaining to the Agency program and management operations.

e. The **Office of Human Capital and Talent Management, Office of Workforce Planning, Policy and Systems Management (HCTM/PPSM)** develops Agency policy on personnel and organization management and determines USAID's organizational structure and final organization charts. HCTM/PPSM's responsibilities include:

(1) Initial consultation with customers on organizational needs to better align the workforce with Agency-wide strategic goals and priorities;

(2) Assessing organizational effectiveness and efficiency in relation to the Agency's strategic goals, core values, and general organizing principles;

(3) Establishing objective performance standards and measures to judge organizational effectiveness and efficiency;

(4) Determining whether proposed changes by organization units are in

compliance with Agency organizational objectives and the Agency's personnel and position management principles (see section **102.3.3.a**);

(5) Providing operational guidance and assistance to organization units when they are considering an organizational change by:

- Interpreting Agency policies and other applicable guidelines on organizational arrangements;

- Advising on personnel staffing and position options; and

- Reviewing position and staffing changes to the extent required by law, regulation, and collective bargaining agreements;

(6) Overseeing the organizational change package to ensure appropriate clearances and approvals are obtained; and

(7) Tracking the implementation of organizational changes by other HCTM offices responsible for processing personnel actions and system changes.

f. The **Office of Human Capital and Talent Management, Human Capital Service Center (HCTM/HCSC), Foreign Service Center (HCTM/FSC), and Center for Performance Excellence, Executive Resources Division (HCTM/CPE/ER)** are responsible for implementation of approved organizational changes by classifying positions and processing personnel actions.

g. The **Office of Human Capital and Talent Management's Office of Employee and Labor Relations (HCTM/ELR)** is responsible for collective bargaining with employee representatives and for representing the Agency in all matters relating to labor relations. HCTM/ELR will ensure that management/leadership Points of Contacts (POCs) from the initiating organization has satisfied relevant terms of agreement with employee bargaining units before changes can be implemented.

h. The **Office of Civil Rights and Diversity** (**OCRD)** establishes Agency policies on equal employment opportunity and enforces related laws, Executive Orders, and regulations. OCRD must review proposed organizational changes for impact on workforce diversity and must clear the changes before they can be implemented.

i. The **Bureau for Legislative and Public Affairs (LPA)** is responsible for the preparation and submission of Congressional Notifications.

j. **Bureau/Independent Office (B/IO) and Overseas Managers** have operational responsibility for position management and must ensure that positions under their control are structured in accordance with sound position management principles (see **section 102.3.4**). Managers must ensure that any proposed organizational changes are aligned with these principles and conform to the Agency's organizational objectives.

k. The **Mission Executive Officer (EXO**) or equivalent, in coordination with the Mission Director, is responsible for developing the appropriate organizational structure and staffing requirements necessary to meet the program and administrative responsibilities of the Missions.

l. **Bureau and Independent Office (B/IO) Administrative Management Specialists (AMS)** or equivalent provide advice and support to their AAs on workforce and organizational matters. The Regional and Functional Bureau AMS plays an integral role in ensuring organizational effectiveness and efficiency based on an understanding of Bureau programmatic needs and the ability to link these needs to organizational and staffing requirements. The AMS also coordinates with appropriate groups to submit a National Security Defense Decision Directive 38 (NSDD-38) request within 30 days after approval of the organizational change by the Administrator or the CHCO. For more detailed information on AMS responsibilities see section **102.3.3.c**.

The AMS ensures that any B/IO organization proposal, whether Washington or overseas, adheres to B/IO allocated workforce levels as established/authorized by the Administrator, and ensures that these levels are appropriate for the conduct of USAID programs and strategic objectives. In addition, the AMS serves as a quality control checkpoint and assesses the accuracy of submissions for organization changes

102.3 POLICY DIRECTIVES AND REQUIRED PROCEDURES

102.3.1 USAID Organizational Structure
Effective Date: 06/27/2017

USAID's organizational structure must be consistent with the overall objective of ensuring the most effective use of government resources while balancing the needs of the Agency's mission, efficiency of operations, and effective employee utilization.

a. **USAID/Washington (USAID/W) Organizational Structure**

The organizational structure for USAID/W is summarized in this section. All USAID/W organizations must use the following standard nomenclature, except when designations are prescribed by specific legislative requirements or other directives. Level 1 organizations report directly to the Administrator.

Organization Level in USAID/Washington	Bureau Nomenclature
Level 1	**Bureau**
Level 2	Office/Center
Level 3	**Division**
Level 4	Branch

Organization Level in USAID/Washington	Independent Office Nomenclature
Level 1	Independent Office (IO)
Level 2	Division
Level 3	Branch

b. **Overseas Organizational Structure**

The organizational structure for overseas Operating Units is summarized in this section. Overseas organizations must use the following standard nomenclature except when designations are prescribed by specific legislative requirements or other directives. The organizational structure and alignment of overseas Operating Units may be affected by the agency review of development programs, referred to as Focus and Selectivity. Updates on Focus and Selectivity information will be issued through Agency Notices as changes occur. Currently, Focus and Selectivity is based on the **President's Policy Directive on Global Development (PPD-6)**.

Organization Level Overseas	Mission Nomenclature
Level 1	Bilateral Mission/Regional Mission
Level 2	Office
Level 3	Division

Organization Level Overseas	Independent Office Nomenclature
Level 1	Independent Office

Organization Level Overseas	Senior Development Advisor(SDA)/Rep Nomenclature
Level 1	SDA/Rep

Below are the typical criteria and duties for overseas Operating Units:

Typical Criteria, **USAID Bilateral Mission**:

- USAID managing $20M + and multiple sectors + multi-year programs, full Country Development Cooperation Strategies (CDCS);

- Engagement permits advancement of USG development goals;

- 4+ USAID USG employees; and

- Reports to Regional Bureau.

Typical Criteria, **USAID Regional Mission**:

- Meets criteria of Bilateral Mission plus the following:

    o Designs and implements programs in two or more countries through regional/bilateral programs;

    o Supports programming in non-presence countries;

    o Provides Technical Assistance (TA) and support to Bilateral Missions and USAID representative offices; and

    o Reports to Regional Bureau.

Typical Criteria, **Office of the USAID Representative**:

- Located in countries without USAID bilateral Mission, but with limited program;

- Development Counselor to the Chief of Mission;

- Receives Agency policy direction and support from Regional Assistant Administrator or Regional Mission, depending on circumstances, and as specified in letter of instruction from the relevant Regional Assistant Administrator;

- The relevant Regional Assistant Administrator may also specify that a USAID Representative is to be considered a USAID Principal Officer;

- Have resident staff only where justified;

- Does not prepare a full CDCS;

- 2-3 USAID USG employees; and

- Reports to Regional Bureau and/or Regional Mission

Typical Criteria, **Senior Development Advisor (SDA)**:

- Receives Agency policy direction and support from USAID/W B/IO or Regional Mission, depending on circumstances, and as specified in letter of instruction

from the relevant Regional Assistant Administrator;

- The relevant Regional Assistant Administrator may also specify that an SDA is to be considered a USAID Principal Officer;

- Posted in countries hosting multilateral donor organizations; are newly emerging bilateral donors; or have overseas Department of Defense (DoD) Combatant Commands; and/or posted in limited presence countries with modest assistance and typically have only 1 USAID USG employee; and

- Reports to Regional Bureau and/or Regional Mission

102.3.2 Organizational Change
Effective Date: 06/27/2017

The following sections describe the policies that must be followed in making organizational changes at USAID. An organizational change is the establishment, abolishment, transfer, or consolidation of an organizational component. Organizational changes are initiated by the Agency Administrator, B/IOs, overseas Operating Units, and in some cases by specific legislative requirements or other directives. HCTM also initiates actions necessary to implement organizational changes as a function of the Agency's organization management program coordinated by the Office of Workforce Planning, Policy, and Systems Management, Workforce Planning and Program Division (HCTM/PPSM/WPP).

Any Operating Unit or individual contemplating an organizational change must first consult with WPP to ensure the type of organizational change is the most efficient and effective solution. This must be done for all organizational changes in USAID/W and overseas. When considering any organizational change, consultation with LPA and GC at an early stage is encouraged.

For the purposes of this ADS chapter, organizational changes include the following: reorganizations; realignments; organizational name changes; and updates to functional statements.

a. **Reorganization** is the planned creation of a new organization, elimination, addition, or redistribution of functions or duties in an organization to improve efficiency, effectiveness, or collaboration. It occurs when management decides to change the structure of a B/IO, overseas Operating Unit, or other Agency-based entity and normally involves the movement of employees from one organization to another.

Reorganizations must have clearly stated business objectives and align with the Agency's human capital and talent management priorities. Personnel actions resulting from the approved reorganization may be processed as a reassignment or realignment, depending on the individual positions involved. Reorganizations have two levels of approvals, depending on the organizational changes proposed. The levels of approval are:

i. <u>Reorganizations that require approval by the CHCO</u> – specifically, these are organizational changes that occur within a B/IO or overseas Operating Unit. These types include: (1) changes to the structure or hierarchy; (2) the addition or elimination of an Office/Center, Division, Branch; and (3) redistribution of functions or duties.

ii. <u>Reorganizations that require a higher level of approval</u> – specifically the Administrator is required to approve the following types of reorganization once cleared by the CHCO and the AA/M: (1) functional transfers between B/IO and/or overseas Missions; (2) establishing or eliminating an Operating Unit which reports directly to the Administrator; (3) establishing or closing an overseas Mission/Office/SDA, or (4) when a Congressional Notification is required. A B/IO, or overseas Operating Unit, must first consult with WPP when planning these types of reorganizations.

b. **Realignment** is the movement of position(s) to a different organization without a change in the duties of the position, grade, or pay. Realignments result when a function moves from one part of the organization to another without any other changes in how the function is performed. Realignments include the movement of employees to different organizations within a B/IO or overseas Operating Unit. All personnel actions associated with this type of organization change are processed as realignments. A B/IO, or overseas Operating Unit, must first consult with WPP before submitting package to the CHCO for approval.

c. **Organizational Name Change** is a change to an organization's title. This involves a change to the name of an organization without any change in the way a function is structured. A B/IO or overseas Operating Unit may modify its name to better reflect relevant best practices and/or to clarify its purpose or function. A B/IO, or overseas Operating Unit, must first consult with WPP before submitting an organizational name change package to the CHCO for approval.

d. **Updates to Functional Statement** involve updates/changes to the functional statements which describe the purpose, scope, and nature of the work performed within an organization. This document will be used to update ADS Chapter 101. There are no personnel actions associated with this type of organizational change. A B/IO, or overseas Operating Unit, must first consult with WPP before submitting this type of package to the CHCO for approval.

102.3.3   Organizational Change Process at USAID
Effective Date: 06/27/2017

The organizational change process consists of three phases:

Phase 1:   Planning and Consultation
Phase 2:   Clearance and Approval
Phase 3:   Implementation

For more detailed information regarding the organizational change process, see **ADS 102mab, Organizational Change Process**.

Phase 1: Planning and Consultation

Organizational change should be predicated on the need to do the work of the organization in a more effective manner or based upon the assignment of new functions to the unit as a whole or to individual positions. Planning for organizational change should be guided by the objectives of meeting the Agency's development priorities; enhancing customer service; and/or improving internal management. All proposed organizational changes must reflect strong position management principles and be aligned with the Agency's mission and human capital and talent management strategy.

HCTM has primary responsibility for all human capital and position management for the Agency and must ensure that all organizational changes comply with Agency and Office of Personnel Management (OPM) policies and regulations.

WPP is the Agency's consultative advisor for aligning the workforce with Agency-wide strategic goals and priorities to ensure USAID is leveraging its critical staffing resources efficiently and effectively in support of our development mission. WPP has built a number of workforce planning tools and systems such as the Consolidated Workforce Planning Model (CWPM) to assist with this process.

Any Operating Unit or individual contemplating an organizational change must first meet with WPP to discuss the organizational change proposal to ensure it meets regulatory requirements regarding position management and that it can be approved and implemented by HCTM. When initiating the consultation, the B/IO or overseas Operating Unit representative(s) should provide WPP the functional rationale behind the proposed organizational change, as well as a current and draft organization chart. Clean data is imperative to properly plan and execute an organizational change. Each initiating B/IO and/or overseas Operating Unit must ensure an accurate staffing pattern that reflects the current organizational structure prior to submitting an organization change package.

WPP will coordinate with the Human Capital Services Center (HCSC), the Foreign Service Center (FSC), Executive Resources (CPE/ER), Employee and Labor Relations (ELR), and any other HCTM offices to ensure the proposed organizational changes are logical and consistent with policy and can be implemented effectively.

After the initial consultation phase with WPP, WPP will recommend that the initiating group consult with ELR, who will coordinate with the Unions, if needed, to discuss the organizational change concept and process. This is considered pre-decisional involvement. The B/IO representative(s) should not contact the Unions directly, or discuss any proposed organizational changes with employees. Formal Union clearances must still be obtained. This early consultation will include ELR representative(s), management/leadership Points of Contacts (POCs) from the initiating

organization, as well as Union representation (invited by ELR, if needed). ELR will advise the initiating B/IO or overseas Operating Unit on the best way forward.

The initiating B/IO, and/or overseas Operating Unit is also responsible for informing and consulting with the following, if applicable:

- M Bureau (if requesting new positions, physical space, and/or IT equipment;

- BRM (if requesting program funds);

- PPL, LPA, and GC (to determine if the proposed action triggers a Congressional notification), and/or

- White House (Administratively Determined (AD) must have approval letter).

Approvals/clearances may be required depending on the type of organizational change. Please refer to Step-by-Step Guides in section **102.5**.

The following are items to consider when planning an organizational change:

a. **Position Management and Organizational Consideration**
   Position management consideration is greatly dependent on the skill and judgment of managers and supervisors. Close coordination with WPP on organizational changes assists B/IO and overseas Operating Unit managers to fulfill their responsibility to ascertain that positions are structured in accordance with sound position management criteria. A carefully planned and well-devised structure will result in plausible and supportable grade levels and an efficient organizational design. When a draft organizational change proposal is complete, managers must ensure that the proposed organizational change is aligned with the Agency's position management principles:

   - The positions are aligned with the organization's mission and functional statements and with the approved organizational structure.

   - The organization is flexible enough to accommodate foreseeable workload fluctuations and respond to new initiatives.

   - Span of control is the number of subordinates one supervisor can effectively manage. It is a significant aspect of organizational design. A narrow span of control leads to unnecessary organizational layering; frequently results in excessive control on the part of supervisors; and stifles initiative among subordinates (particularly in policy development or support activities). On the other hand, too wide a span of control hinders the ability to make supervisory decisions based on a thorough knowledge and understanding of the particular issue.

- Authority for operations decision making is suitably delegated when there is little need for uniformity or coordination among organizational segments.

b. Change Management Planning
Change management is the process, tools, and techniques used to help make successful transitions when organizational change occurs. Before you consider change management, consult with WPP to assist and provide a variety of resources available to improve the success of an organizational change.

c. Organizational Change Requirements and Documentation

A complete package must be submitted to WPP for final review and approval. *Please note: Some organizational change proposals may require additional clearances/approvals in order to proceed to Phase 2 of the Organizational Change Process (and prior to submitting the proposal to ELR (the Unions) and OCRD). The following clearances will be required, if applicable: M Bureau (new position request, physical space and IT requirements), BRM (Program funds), PPL, LPA (Congressional Notification), White House (AD positions must have approval letter). Once obtained, these clearances/approvals must be provided to WPP electronically.*

If the initiating B/IO and/or overseas Operating Unit is requesting an Agency Coordinator position, please refer to **ADS 102maa, Agency Coordinator Memo**.

All B/IOs and overseas Operating Units are required to assess the applicability of **OMB Circular A-76** and **NSDD-38**. The NSDD-38 process requires the Agency to address such issues as the workforce requirements (both USG and non-USG) needed to staff the Mission, security, office and/or warehouse space, housing, International Cooperative Administrative Support Service (ICASS), and other available support services, etc. Approval from the Department of State and the appropriate Ambassador/Chief of Mission is needed to obtain an NSDD-38. Once obtained, the NSDD-38 must be provided to WPP.

To assist with the organizational change process, see **ADS 102mab, Organizational Change Process**, the step-by-step guides in section **102.5**, and Table 1.1 below.

Table 1.1 – Required Documentation

** (Refer to 102.3.2 for different types of organization change)

TYPE OF ORGANIZATIONAL CHANGE REQUEST**	CONSULTATION WITH WPP REQUIRED	OVERSEAS MISSIONS ONLY PRIOR TO SUBMITTING PACKAGE TO CHCO	REQUIRED DOCUMENTATION
Reorganization	YES		• Approval Memo from the requesting B/IO AA or overseas Operating Unit's Mission Director to the Administrator through the CHCO • Approval from M for additional budget, physical space, IT requests (if applicable) • Current Functional Statement • Track Changed Version of Proposed Functional Statement • Current Organization Chart • Track Changed Version of Proposed Organization Chart • Current Staffing Pattern • Track Changed Version of Proposed Staffing Pattern "Crosswalk" • Position Descriptions • OPEFs (overseas only) • Congressional Notification (if required)
Realignment	YES	• Clearance from overseas Operation Unit's Regional Bureau	• Approval Memo from the requesting B/IO AA or overseas Operating Unit's Mission Director to the CHCO • Approval from M for additional budget, physical space, IT requests (if applicable) • Current Functional Statement • Track Changed Version of Proposed Functional Statement • Current Organization Chart • Track Changed Version of Proposed Organization Chart • Current Staffing Pattern • Proposed Staffing Pattern "Crosswalk" • Position Descriptions • OPEFs (overseas only)
Organizational name change	YES	• Clearance from overseas Operation Unit's Regional Bureau	• Approval Memo from the requesting B/IO AA or overseas Operating Unit's Mission Director to the CHCO • Track Change Version of Proposed functional statement
Change/updates to functional statement	YES	• Clearance from overseas Operation Unit's Regional Bureau	• Approval Memo from the requesting B/IO AA or overseas Operating Unit's Mission Director to the CHCO • Track Change Version of Proposed functional statement

Phase 2: Clearance and Approval

For all organizational change proposals which are not budget neutral, the Bureau for Management must clear the approval of funding behind all positions before the proposal is submitted to WPP for the CHCO's clearance/approval. WPP will return packages without budgetary clearance to the requesting B/IO or overseas Operating Unit.

Overseas Operating Units must clear all organizational change proposals through the

respective Regional Bureau before submitting to WPP.

The Position Management Advisor (PMA) within WPP will review all proposed organizational changes for accuracy and conformance to policy guidelines. This will ensure that changes match overall Agency workforce planning objectives and comply with organizational approval standards.

WPP also ensures the organizational change packages are properly reviewed, cleared, and routed to the appropriate offices such as OCRD, ELR, and M (if not already cleared by the Bureau) before clearance/approval from the CHCO (see **ADS 102mab, Organizational Change Process** for more detailed information).

OCRD has five business days to review and respond to the organizational change package for compliance with Equal Employment Opportunity legislation. OCRD will provide clearance in writing.

ELR will review the organizational change package and submit it to the Unions (AFSA and AFGE). AFGE has ten (10) work days to comment on the reorganization's effect on Union employees, while AFSA has seven (7) calendar days to comment (see **AFGE Collective Bargaining Agreement** and **AFSA Framework Agreement**). If AFSA and AFGE have not given their agreement within seven calendar and ten work days, respectively, and have not raised any negotiable issues, concurrence will be assumed and the package will be submitted to the CHCO. Time limits may be extended based on mutual agreement between the Union(s) and ELR. Organizational change packages cannot move to Phase 3, without written clearance from ELR and OCRD, unless they have waived their right to comment.

Once ELR and OCRD clear the organizational change package, WPP will route the package through HCTM and the CHCO for clearance/approval. Reorganizations referenced in section **102.3.2 a.i.** will be sent to the Administrator for final approval by WPP. Any changes to the organizational change package by the CHCO or Administrator will result in rerouting the package back to WPP, ELR and OCRD, and the CHCO for additional clearances and approval, as appropriate (see Phase 2 **organizational change process**).

Phase 3: Implementation

After the organizational change package is approved, WPP will notify the AMS and/or EXO.

WPP will coordinate with the AMS and/or EXO along with representatives from other HCTM offices as appropriate, to establish an implementation timeline and effective dates for the execution of the organizational change. The initiating B/IO, and/or overseas Operating Unit will provide personnel actions to HCTM and prepare NSDD-38 submission within 30 days after the package approval date, which will be provided by WPP.

WPP and the submitting B/IO or overseas Operating Unit will agree on an effective date based on:

1. Most organizational changes are effective on the first Sunday of a pay period;

2. The size of the reorganization or realignment, the number of new job descriptions, the number of positions affected; and

3. Time required by the HCTM Classification and Staffing Specialists to review, classify, and establish new positions into the system.

WPP will send an email to all applicable information system Points of Contact (POCs) of the Agency (Payroll, Phone Directory, etc.) providing the date the reorganization was officially approved and the effective date the new "Org Names" can be used in the National Finance Center (NFC) and other Agency systems.

During the implementation phase, HCTM offices, as appropriate, will require additional documents from the AMS and/or EXO such as **OF-8s** with PDs and SF-52s to process staffing actions (see **ADS 102mab, Organizational Change Process** for more detailed information).

Approval of New Mission Only

Department of State Approval: Once the USAID Administrator has approved the establishment of a new Mission, the National Security Defense Decision Directive 38 (**NSDD-38**) requires USAID to transmit the approved proposal to the appropriate Ambassador/Chief of Mission of the country in which the Mission is to be located, in consultation with the Department of State. The NSDD-38 process requires the Agency to address such issues as the workforce requirements (both USG and non-USG) needed to staff the Mission, security, office and/or warehouse space, housing, International Cooperative Administrative Support Service (ICASS), and other available support services, etc.

102.3.4   Organizational Review
Effective Date: 06/27/2017

Organizational assessment and design provides the framework for integrating the mission, functions, employees, information, and technology of the organization to accomplish its goals. The organizational structure defines the formal reporting relationships among staff members and supports their roles and responsibilities.

WPP will assess the B/IO and/or overseas Operating Unit to determine the skills, critical competencies, and occupations required both now and in the future, and identify strengths and areas for development in line with the Agency's long-term priorities.

HCTM seeks to create a structure that balances the requirements of the Agency's mission and goals, the economy and efficiency of operations, skill and knowledge

utilization, and retention.

102.3.5 Records Management
Effective Date: 06/27/2017

Organizational change packages (including organizational charts) and organizational studies/assessments and materials must be retained for the agency. HCTM will preserve records containing adequate and proper documentation of organizational change packages (including organizational charts) and organizational studies/assessments in the office for seven (7) years after which the records will be retired to Washington National Records Center (WNRC).

102.4 MANDATORY REFERENCES

102.4.1 External Mandatory References
Effective Date: 06/27/2017

a. **National Security Decision Directive 38 (NSDD-38), "Staffing at Diplomatic Missions and Their Constituent Posts," June 2, 1982**

b. **Office of Management and Budget (OMB) Circular A-76 (revised), "Performance of Commercial Activities," August 4, 1983**

102.4.2 Internal Mandatory References
Effective Date: 06/27/2017

a. **ADS 101, Agency Programs and Functions**

b. **ADS 102maa, Agency Coordinator Memo**

c. **ADS 102mab, Organizational Change Process**

d. **ADS 103, Delegations of Authority**

e. **ADS 109, Ethics and Standards of Conduct**

f. **ADS 200, Development Policy**

g. **ADS 201, Program Cycle Operational Policy**

h. **ADS 527maa, Guidance on How to Open a USAID Mission**

i. **AFGE Collective Bargaining Agreement**

j. **AFSA Framework Agreement**

k. **PPD-6 Agency Notice**

l. **USAID's current organizational structure**

102.4.3 **Mandatory Forms**
Effective Date: 06/27/2017

a. **SF-52B, Requests for Personnel Action**

b. **OF-8, Position Description**

102.5 **ADDITIONAL HELP**
Effective Date: 06/27/2017

a. **ADS 102saa, Organizational Change Checklist for Functional Statement Updates**

b. **ADS 102sab, Organizational Change Checklist for Reorganizations in Washington & Overseas**

c. **ADS 102sac, Organizational Change Checklist for Organizational Name Changes**

d. **ADS 102sad, Organizational Change Checklist for Realignments in Washington & Overseas**

e. **ADS 102sae, Step-by-Step Guide for Functional Statement Updates**

f. **ADS 102saf, Step-by-Step Guide for Organizational Name Changes**

g. **ADS 102sag, Step-by-Step Guide for Realignments**

h. **ADS 102sah, Step-by-Step Guide for Overseas Organizational Changes**

i. **ADS 102sai, Step-by-Step Guide for Reorganizations**

102.6 **DEFINITIONS**
Effective Date: 06/27/2017

See the **ADS Glossary** for all ADS terms and definitions.

Bilateral Mission
Bilateral Mission manages $20M, have multiples sectors, multi-year programs, and full CDCS. They have 4+ USAID USDH. (**Chapter 102**)

branch
An organization unit below the Division level; a Level III or below organization. Branches are established when operating requirements, functional concerns, and/or staffing levels

justify dividing a Division into sub-elements. (**Chapter 102)**

Bureau
A major organization unit of the Agency that reports to the Office of the Administrator; a Bureau is a Level 1 organization. A bureau administers complex and diverse programs involving a designated geographic area; major policy, program and technical advisory services; or management and program support functions. (**Chapter 102**)

Center
An organizational unit below Bureau level, the head of which reports directly to the Bureau AA. A Center is a level 2 organization. A center is responsible for the conduct or management of a program and/or activities that constitute the line function of an organization. Generally, Centers contain three or more related sub organizational units. (**Chapter 102**)

Division
An organization unit below the Office/Center level within a Bureau or Mission. It is a level 3 organization within a Bureau and a level 2 organization within an Independent Office. Divisions are established when operating requirements, functional concerns, and/or staffing levels justify dividing an Office/Center into sub-elements. (**Chapter 102**)

Independent Office (IO)
A major organization unit of the Agency that reports to the Office of the Administrator; an Independent Office is a Level 1 organization. An Independent Office is responsible for significant Agency-wide program or staff functions. Some Independent Offices are Congressionally mandated. (**Chapter 102**)

Office
An organizational unit below Bureau level, the head of which reports directly to the Bureau AA. An Office is a level 2 organization. An Office is responsible for the conduct or management of a program and/or activities that constitute the line function of an organization. Generally, Offices contain three or more related sub organizational units. (**Chapter 102**)

organization change
Any action that in any way alters the scope, structure, title, and/or purpose of an existing organization. (**Chapter 102**)

organization unit
An official, identifiable work unit within USAID that is recognized by a unique title, abbreviation, and code number. (**Chapter 102**)

Regional Mission
A Mission that meets the criteria of a bilateral Mission plus designs and implements programs in 2+ countries through regional/bilateral programs. A Mission that supports programming in non-presence countries and provides technical assistance and support to Bilateral Missions and USAID representative offices. Typical duties include: provide

USAID Forward support, tools, leadership to Missions, Offices, and SDA's; serve as a hub for regional capacity development and learning; provide USAID Offices and SDAs with technical and support services; and has a key leadership role in the region supporting USAID Representatives or SDAs (who report to Chief of Mission). (**Chapter 102**)

Senior Development Advisor (SDA)
Receives policy direction from USAID/W Bureaus or Regional Missions; are posted in countries hosting multilateral donor orgs; are newly emerging bilateral donors; or have overseas DoD Combat Commands. Are posted in limited presence countries with modest assistance and typically have only 1 USDH. Typical duties include: Development Counselor to Chief of Mission or Combatant Commander; responsible for building partnerships with other USG or stakeholders, coordinating implementation of USAID investments (with private sector or other donors), and directly advising host country govt-financed programs. They can be either SMG or non-SMG. (**Chapter 102**)

USAID Representative
Typical in countries without a bilateral Mission, but with limited program. Typically Development Counselor to the Chief of Mission. They receive Agency policy direction and support from a Regional AA or Regional Mission. They only have resident staff where justified and they do no prepare a full Country & Regional Development Cooperation Strategy (CDCS). Typical duties include: post lead for development cooperation, lead/participate in development dialogues at all levels with stakeholders; closely coordinate with Regional Mission to identify technical, programmatic, and other support needs; and could be designated SMG, depending on determination by Regional AA and HCTM in consultation with Administrator. (**Chapter 102)**

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