The Constitution vests in the President the power to make treaties and appoint ambassadors, other public ministers, and consuls, by and with the advice and consent of the Senate. By derivation from these Constitutional provisions, the President exercises primary authority and responsibility for the formulation and execution of foreign policy.

1 FAM 011.1 Scope

a. The functional statements or organizational responsibilities and authorities assigned to each major component of the Department are described in this volume of the Foreign Affairs Manual. They comprise the basic organizational directive of the Department of State.

b. This volume also cites the more important legislation and executive orders, accompanied by charts, where appropriate, relating to the responsibilities of the Department of State.

c. The official organization chart of the Department can be found on the U.S. Department of State Intranet website.
1 FAM 011.2 Role of Department of State

(TL:ORG-104; 06-30-2001)

The Department of State exists to assist the President, through the Secretary of State, in formulating and executing the foreign policy and relations of the United States of America.

1 FAM 012 THE SECRETARY OF STATE’S AUTHORITY

(CT:ORG-242; 05-05-2011)

a. The Secretary of State’s basic authority derives from the provisions of the U.S. Constitution that vest in the President the authority to conduct foreign affairs. The Secretary of State is the President’s principal foreign policy advisor and is responsible for the formulation of foreign policy and the execution of approved policy (22 U.S.C. 2656).


c. In addition, the authorities of the Secretary of State include authority to administer the Department and the Foreign Service under 22 U.S.C. 2651a, 3921, and 3926; and E.O. 12137 and E.O. 12163.

1 FAM 013 INTERDEPARTMENTAL DIRECTION AND LEADERSHIP

(CT:ORG-342; 08-27-2014)

The Department of State provides interdepartmental direction and leadership to other foreign affairs agencies of the U.S. government.

1 FAM 013.1 National Security Council System and Direction, Coordination, and Supervision of Interdepartmental Activities Abroad

(TL:ORG-62; 01-31-1995)

To assist in carrying out the President’s responsibilities for the conduct of national security affairs, the President has designated the National Security Council (NSC) as the principal forum for consideration of national security policy issues requiring
Presidential decision. The following interagency groups with Department of State participation have been established to support the NSC at large and its individual members in carrying out their responsibilities for foreign policy.

1 FAM 013.1-1 Senior Interdepartmental Group - Foreign Policy (SIG-FP)

(CT: ORG-242; 05-05-2011)

a. The Senior Interdepartmental Group - Foreign Policy (SIG-FP) will:

   (1) Ensure that important foreign policy issues requiring interagency attention receive full, prompt, and systematic consideration;

   (2) Deal with interdepartmental matters raised by any member or referred to it by subordinate interagency groups, or, if such matters require higher-level consideration, report them to the Secretary of State for decision or referral to the NSC;

   (3) Ensure a proper selectivity of the foreign policy/foreign affairs areas and issues to which the United States applies its efforts;

   (4) Monitor the execution of approved policies and decisions; and

   (5) Evaluate the adequacy and effectiveness of interdepartmental programs and activities abroad.

b. The SIG-FP is composed of senior policy-level representatives of the Department of State (Chairman), the Department of Defense, the Director of Central Intelligence, the Chairman of the Joint Chiefs of Staff, and the Assistant to the President for National Security Affairs. Representatives of other departments and agencies with responsibility for specific matters to be considered will attend on invitation by the Chairman.

1 FAM 013.1-2 Interdepartmental Group (IG)

(TL: ORG-104; 06-30-2001)

a. An interdepartmental group (IG) is established and convened under the authority of the Secretary of State. Its two primary responsibilities are to:

   (1) Formulate foreign policy for consideration at the policy level; and

   (2) Implement approved policy decisions.

b. An IG is designed to coordinate the positions and interests of the foreign affairs community through an orderly, well-managed process. The Department of State is responsible for ensuring that the views and positions of all appropriate agencies are adequately represented throughout the process.

c. The IGs will be chaired by the appropriate Assistant Secretary, and membership will include representatives of the Secretary of Defense, the Director of the Central Intelligence Agency, the Chairman of the Joint Chiefs of Staff, the
1 FAM 013.1-3 Interagency Process

Policy issues flow upward from interagency groups (IGs) at the Assistant Secretary level, to senior interagency groups (SIGs) at the Deputy or Under Secretary level, and then to the National Security Council (NSC) for decision. Foreign policy issues in the interagency system originate in the Department’s bureaus or are identified for study in a National Security Study Directive (NSSD) emanating from the White House. The culmination of the interagency process is the National Security Decision Directive (NSDD) issued by the President. The NSDD promulgates policy decisions taken by the President and directs their implementation.

1 FAM 013.1-4 Country Director

a. A country director serves as the single focus of responsibility for leadership and coordination of departmental and interdepartmental activities concerning his or country or countries of assignment. In particular, the director will:

(1) Provide continuing departmental and interdepartmental leadership in planning, coordination, and implementation of decisions;

(2) Raise specific matters for consideration by the NSC interdepartmental groups, and bring detailed knowledge to the interdepartmental group discussions when so requested; and

(3) Serve as the base for crisis task force operations, as necessary.

b. The country director will be responsible for seeing that the chief of mission’s needs are served both within the Department and U.S. government-wide and will ensure that the mission is properly supported in the full range of its requirements, policy, operations, and administration.

c. Each country director will organize and develop such contacts, channels, and mechanisms as are appropriate to and necessary for full interdepartmental leadership on country matters, and for full support to the Assistant Secretary.

d. To assist in providing guidance and direction to the country director, the assistant secretary will have one or more deputy assistant secretaries whose areas of responsibility will be defined by the Assistant Secretary.

1 FAM 013.2 Responsibilities of Chiefs of U.S. Missions

a. Under the direction of the President, the Chief of Mission (COM) has full
responsibility for the direction, coordination, and supervision of all U.S. Executive Branch employees in his or her country, regardless of their employment categories or location, except those under the command of a U.S. military area commander (the Geographic Combatant Commander or GCC) or Voice of America correspondents on assignment. With these exceptions, the COM is in charge of all Executive Branch personnel, activities and operations in his or her country of assignment.

b. The COM is responsible for the security of his or her Mission and, subject to the same exceptions noted above, all U.S. Government personnel on official duty abroad and their accompanying dependents. Title 22 U.S.C. 4801 et seq. serves as the main authority for the execution of COM security responsibilities. This is a separate and distinct responsibility from COM authority.

c. COM authority and security responsibility are subject to exceptions and exclusions by U.S. law or Presidential directive. The exceptions are cited above. These exceptions will apply throughout 1 FAM 013.2.

d. Exclusions relate to personnel who are outside the boundaries of the qualifying language. For example, the President’s Letter and National Security Decision Directive (NSDD) 38 specify that the COM’s authority extends to U.S. Government employees of the "Executive Branch". The use of the word "employee" also excludes those who do not have an employer-employee relationship with the U.S. Government.

e. The President’s Letter of Instruction is a foundational document that explicitly addresses the authority and responsibility of the COM and outlines the roles and responsibilities of Executive Branch agencies conducting official U.S. Government activities in the COM’s country of responsibility. The President instructs the COM to:

(1) Direct, coordinate and supervise all U.S. Government Executive Branch activities, operations and employees;

(2) Assume full responsibility for the security of the mission and all the personnel for whom the COM is responsible, whether inside or outside the chancery gate. Absent an interagency agreement, the COM must provide for the security of all U.S. Government personnel on official duty abroad;

(3) Consult and coordinate with the GCC to keep each other currently and fully informed, and to cooperate on all matters of mutual interest;

(4) Require all U.S. Government personnel to obtain country clearance before entering the COM’s assigned country on official business. The COM may refuse country clearance or may place conditions or restrictions on visiting personnel as deemed necessary;

(5) All Executive Branch personnel under COM authority must submit staffing change requests in accordance with NSDD 38, obtaining COM approval before changing the size, composition, or mandate of their staffs, regardless of the duration or purpose of the proposed position or
assignment. Any change in a permanent, direct-hire position encumbered for 12 months or longer is subject to NSDD 38, including long-term requirements met by a series of temporary duty (TDY) assignments. 2 FAM 110 contains additional information on NSDD 38 guidelines.

(6) In accordance with 22 U.S.C. 3927, COMs are required to undertake a review of programs, personnel, and funding levels of every staff element under their authority at least once every 5 years to better meet foreign policy goals and ensure capital projects are sized correctly. This rightsizing mandate extends to overseas staff of all Executive Branch agencies.

f. The contents of each President's Letter of Instruction may differ according to whether the COM has a bilateral or international organization portfolio.

g. Additional legislation, Presidential directives, and executive orders relating to the responsibilities of the COM and the exercise of COM authority over U.S. Government employees, operations and activities overseas include, but are not limited to, the following:

(1) 22 U.S.C. 3902(3), Definitions of “Chief of Mission”:

(a) Chief of Mission means the principal officer in charge of a diplomatic mission of the United States or of a United States office abroad which is designated by the Secretary of State as diplomatic in nature, including certain officers designated as charge d’affaires.

(b) The principal officers in charge of certain Consulates General have been designated as COMs (for example, the Consulate General in Jerusalem and the Consulate General in Hong Kong).

(2) 22 U.S.C. 4805, which states that Federal agencies, with or without reimbursement, shall cooperate (through agreements) to the maximum extent possible with the Secretary of State to perform security inspections, provide logistical support relating to the differing missions and facilities of other federal agencies, and perform other overseas security functions as may be authorized by the Secretary.

(3) 22 U.S.C. 4831, Accountability Review Board – 12 FAM 030 provides the context for when the Secretary of State shall convene an Accountability Review Board (ARB). Specifically, a Board must be convened if there is a security-related incident resulting in loss of life, serious injury, or significant destruction of property related to a U.S. Government mission abroad, or if there is a serious breach of security involving the intelligence activities of a foreign government directed at a U.S. Government mission abroad.

(4) 22 U.S.C. 3927(C) provides that each COM to a foreign country shall have as a principal duty the promotion of United States goods and services for export to such country. More information can be found in the Foreign Service Act.

(5) Pursuant to 22 U.S.C. 4801, et seq. the Secretary of State and, by
extension, the COM (for those under his or her authority), are responsible for:

(a) Coordinating all U.S. Government personnel assigned to U.S. posts and missions abroad (U.S. or other missions, international organizations), except for facilities, installations or personnel under the command of a GCC;

(b) Establishing appropriate overseas staffing levels for all such posts and missions for all federal agencies with activities abroad (except for personnel and activities under the command of a GCC or regional inspector general offices under the jurisdiction of the Inspector General, U.S. Agency for International Development or USAID); and

(c) Developing and implementing policies and programs that provide for the safe and efficient evacuation of U.S. Government personnel, dependents and private citizens when their lives are endangered. COM’s share appropriate security information with all U.S. citizens within their respective countries. In addition, COM’s are required to provide the Secretary of State’s office with appropriate information on U.S. Government personnel and U.S. citizens for evacuation and crisis planning purposes. 2 FAM 110 contains additional information.

(6) Foreign Assistance Act and Arms Export Control Act, as amended, are the enabling legislation for both economic and military foreign assistance (Title 22, Foreign Military Sales) programs. Executive Order 12163 delegates responsibilities under these Acts to the Secretary of State and the Director of USAID. The COM directs and supervises the implementation of all programs authorized by these Acts, unless otherwise directed by the President.

(7) National Security Decision Directive (NSDD) 38, July 13, 1982, on staffing at Diplomatic Missions and Constituent Posts. NSDD 38 and guidelines allow for the flexible, systematic and expeditious deployment and management of personnel of all U.S. Government agencies operating under the authority of the COM in support of U.S. foreign policy objectives. The directive requires COM approval prior to Executive Branch agencies undertaking changes to current staffing authorizations. In addition, the directive serves as the foundational document for establishing appropriate overseas staffing levels at posts and missions for federal agencies with activities abroad (excluding exceptions). The point of contact in the State Department for such matters is the Office of Rightsizing. The Department of State maintains a current record of staffing authorization for each overseas post.
(8) E.O. 12333, United States Intelligence Activities, Part 1.91, states that the Secretary of State shall: (a) Overtly collect information relevant to United States foreign policy concerns; (b) Produce and disseminate foreign intelligence relating to United States foreign policy as required for the execution of the Secretary's responsibilities; (c) Disseminate, as appropriate, reports received from United States diplomatic and consular posts; (d) Transmit reporting requirements of the Intelligence Community to the Chiefs of United States Missions abroad; and (e) Support Chiefs of Missions in discharging their statutory responsibilities for direction and coordination of mission activities. The responsibility of the Director of National Intelligence is to ensure intelligence activities are conducted in a manner consistent with the law.

(9) Non-Personal Services Commercial Contractors, see 2 FAH-2 H-114.5 and Federal Acquisition Regulation (FAR) 52.225-19.

h. 2 FAM 111.3, 2 FAM 113 and 2 FAH-2 H-100 contain more information on COM authorities and responsibilities. Not all agencies may be able to access the Department of State website.

1 FAM 013.3 Foreign Assistance Administration and Related Functions

1 FAM 013.3-1 Foreign Assistance Act of 1961, as Amended

(TL:ORG-104; 06-30-2001)

The Foreign Assistance Act of 1961 and the Arms Export Control Act, as amended, are the enabling legislation for both economic and military foreign assistance (including sales) programs. In general, the President may further delegate the authorities.

1 FAM 013.3-2 Executive Order 12163 of September 29, 1979, as Amended

(TL:ORG-62; 01-31-1995)

a. Executive Order 12163 of September 29, 1979, as amended, delegates to the Director of the United States International Development Cooperation Agency and to the Secretary of State the President’s functions under the Foreign Assistance Act, as well as under the Mutual Defense Assistance Control Act of 1961,
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the Mutual Security Act of 1954, and other specified acts, except as certain of these functions are otherwise delegated or reserved to the President.

b. The Agency for International Development (USAID), headed by an administrator, carries out non-military programs under the Act.

1 FAM 013.3-3 Secretary of State’s Delegation of Authority No. 293 of February 10, 2006, as Amended

(CT:ORG-348; 10-09-2014)

The Secretary of State’s Delegation of Authority No. 293 delegates to the Under Secretary for Security Assistance, Science, and Technology the Secretary’s authorities with respect to security assistance and military assistance and sales, as well as coordination authorities under section 622(c) of the Foreign Assistance Act and similar provisions in the Arms Export Control Act.

1 FAM 013.3-4 USAID Representation at Meetings with Foreign Delegations

(CT:ORG-342; 08-27-2014)

a. Assistant Secretaries will ensure appropriate USAID representation at meetings of the President, the Secretary, the Deputy Secretary, and others with foreign delegations and representatives if there is any reason to believe that USAID subjects are likely to be discussed.

b. USAID representation must not result in an increase in the total number of U.S. participants in the meetings which, except in unusual circumstances, should approximate the number of foreign participants. It is expected that foreign delegations will generally arrange separate meetings with USAID for detailed discussions of USAID subjects.

c. Regional bureaus of the Department will consult with USAID bureaus to ensure that USAID is properly informed of all meetings in which it should be represented. Similarly, USAID bureaus should ensure that bureaus of the Department are properly informed of all USAID meetings with foreign delegations or representatives in which they should participate.

1 FAM 013.4 Peace Corps

(CT:ORG-342; 08-27-2014)

a. The following are the authorities for the interrelationship between the Peace Corps and the Department of State.

b. Executive Order 12137 of May 16, 1979, as amended. Executive Order 12137, as amended, delegated to the Director of ACTION all functions conferred by the Peace Corps Act of 1961 (75 Stat. 612), except those directly conferred by the Act on, or delegated to, the Secretary of State or reserved for the President.

d. Secretary of State Telegram of February 10, 2009 (09 State 012309). The text of this telegram is contained in 1 FAM Exhibit 013.6.

1 FAM 013.5 Other Interagency Relationships

1 FAM 013.5-1 Coordination

a. In addition to the “foreign affairs family” of the Department of State and other civilian U.S. government agencies principally engaged in activities abroad, there are other domestic departments and agencies with international operations.

b. Through its Specialized Attaché Program, the Department and the Foreign Service also act for certain of these departments and agencies. A few others carry on their own programs.

c. The Department assists other U.S. government departments and agencies in both of these instances, always mindful of the Secretary’s primary responsibility for the conduct of U.S. foreign relations. This cooperation has taken the form of a varied group of arrangements. Some are written, detailed agreements, whereas, others are less formal understandings concerning budgeting, staffing, administrative support, and reimbursement procedures.

1 FAM 013.5-2 Foreign Service Personnel

Under the Foreign Service Act of 1980, the Secretary of State administers and directs the Foreign Service and coordinates its activities with the needs of the Department and other agencies and consults with other agencies using the Foreign Service personnel system (USAID, Foreign Agricultural Service, Foreign Commercial Service) to ensure maximum compatibility.

1 FAM 013.5-3 Staffing Abroad

a. Section 103(c) of the Omnibus Diplomatic Security and Antiterrorism Act of 1986 (Public Law 99-399), as amended, gives the Secretary full responsibility for the coordination of all U.S. government personnel assigned to diplomatic or consular posts or other U.S. missions abroad (except those under a U.S. area military commander) and authority to establish appropriate staffing levels for such posts or missions for all federal agencies with activities abroad (with the same military exception and an exception for USAID’s Inspector General).
b. Under National Security Decision Directive38 (NSDD-38) and the President’s Letter of Instruction to Chiefs of Mission, the chief of mission must approve any changes to the size, composition, or mandate of positions under his or her authority, and is responsible for reviewing staffing and ensuring it is consistent with Mission goals and objectives.

c. Interagency agreements are cited throughout the Foreign Affairs Manual and Handbooks, as appropriate, to the program and/or policy under discussion. In addition to those specific agreements, the following agreements have been reached with non-executive branch agencies:

(1) State/Library of Congress Memorandum of Understanding on Overseas Staffing—March 14, 1989; and


1 FAM 014  ORGANIZATIONAL CONTROL, POLICIES, AND FUNCTIONAL STATEMENTS

(CT:ORG-342; 08-27-2014)

The Secretary of State is responsible for control of the organizational structure and assignment of functions in the Department of State. The Secretary has delegated this authority to the Under Secretary for Management (M). Within the policy guidelines established by the Under Secretary for Management, operational responsibility for position management lies with the Department’s line managers. Therefore, bureau heads (and managers of similar or higher rank with independent staffs) have primary accountability for ensuring that the organizations under their direct control conform to the organizational objectives established by the Under Secretary for Management.

1 FAM 014.1 General Organizational Objectives

(CT:ORG-342; 08-27-2014)

a. Consistent with the overall U.S. government policy of ensuring the most effective use of government resources, any proposed new organizational structure should strive to achieve a proper balance among:

(1) Mission needs;

(2) Efficiency of operations; and

(3) Effective employee utilization.

b. The first step is to identify the basic mission and authorities delegated to the organization. Organizational planning must then be guided by the objective categories outlined below:
(1) Meeting Department priorities;
(2) Improving service delivery; and
(3) Improving internal management.

1 FAM 014.2 Key Organizational Practices

(CT:ORG-242; 05-05-2011)

To the extent practicable, major reorganizations of bureaus or offices in the Department should follow the following eight key practices and implementation steps:

Figure 6: GAO

<table>
<thead>
<tr>
<th>Practice</th>
<th>Implementation Step</th>
</tr>
</thead>
<tbody>
<tr>
<td>(1) Ensure top leadership drives the transformation.</td>
<td>1.1 Define and articulate a succinct and compelling reason for change. 1.2 Balance continued delivery of services with merger and transformation activities.</td>
</tr>
<tr>
<td>(2) Establish a coherent mission and integrated strategic goals to guide the transformation.</td>
<td>2.1 Adopt leading practices for results-oriented strategic planning and reporting.</td>
</tr>
<tr>
<td>(3) Focus on a set of key principles and priorities at the outset of the transformation.</td>
<td>3.1 Embed core values in every aspect of the organization to enforce the new culture.</td>
</tr>
<tr>
<td>(4) Set implementation goals and a timeline to build momentum and show progress from day one.</td>
<td>4.1 Make public implementation goals and timeline. 4.2 Seek and monitor employee attitudes and take appropriate follow-on actions. 4.3 Attract and retain key talent. 4.4 Establish an organization-wide knowledge and skills inventory to exchange knowledge among merging organizations. 4.5 Identify cultural features of merging organizations to increase understanding of former work environments.</td>
</tr>
<tr>
<td>(5) Dedicate an implementation team to manage the transformation process.</td>
<td>5.1 Establish networks to support implementation team. 5.2 Select high-performing members.</td>
</tr>
<tr>
<td>(6) Establish a communications strategy to create shared expectations and report related progress.</td>
<td>6.1 Communicate early and often to build trust. 6.2 Ensure consistency of message. 6.3 Encourage two-way communication.</td>
</tr>
</tbody>
</table>
6.4 Provide information to meet specific needs of employees.

(7) Involve employees to obtain their ideas and gain ownership for the transformation.

  7.1 Use employee teams.
  7.2 Involve employees in planning and sharing performance information.
  7.3 Incorporate employee feedback into new policies and procedures.
  7.4 Delegate authority to appropriate organizational levels.

(8) Use the performance-management system to define responsibility and assure accountability for change.

  8.1 Adopt leading practices to implement effective performance-management systems with adequate safeguards.

### 1 FAM 014.3 Organizational Nomenclature

*(CT:ORG-342; 08-27-2014)*

a. The basic nomenclature for the Department’s domestic organizational structure is summarized in this section. There are some exceptions to the basic nomenclature; these exceptions, for the most part, reflect specific legislative requirements.

<table>
<thead>
<tr>
<th>Organization Level</th>
<th>Title of Nomenclature</th>
<th>Organization Head</th>
</tr>
</thead>
<tbody>
<tr>
<td>Level 1</td>
<td>Department</td>
<td>Secretary</td>
</tr>
<tr>
<td>Level 1a</td>
<td>Department</td>
<td>Deputy Secretary</td>
</tr>
<tr>
<td>Level 1b</td>
<td>Department</td>
<td>Under Secretary</td>
</tr>
<tr>
<td>Level 1c</td>
<td>Department</td>
<td>Ambassador at Large</td>
</tr>
<tr>
<td>Level 2</td>
<td>Bureau</td>
<td>Assistant Secretary</td>
</tr>
<tr>
<td>Level 3</td>
<td>Non specified</td>
<td>Deputy Assistant Secretary</td>
</tr>
<tr>
<td>Level 3a</td>
<td>Directorate</td>
<td>Managing Director</td>
</tr>
<tr>
<td>Level 4</td>
<td>Office</td>
<td>Director</td>
</tr>
<tr>
<td>Level 5</td>
<td>Division</td>
<td>Chief</td>
</tr>
<tr>
<td>Level 6</td>
<td>Branch</td>
<td>Chief</td>
</tr>
<tr>
<td>Level 7</td>
<td>Section</td>
<td>Chief</td>
</tr>
<tr>
<td>All Levels</td>
<td>Staff</td>
<td>Chief(See 014.4f.)</td>
</tr>
</tbody>
</table>

b. The nomenclature for the Department’s overseas organizational structure can be found in 2 FAM 100 POST MANAGEMENT and 2 FAM 110 POST ORGANIZATION Chapters.

### 1 FAM 014.4 Generic Responsibilities

*(CT:ORG-342; 08-27-2014)*

a. The Department is headed by the Secretary who promulgates such rules and
regulations as may be necessary to carry out the functions vested by statute or executive order in the Department. The Secretary may delegate authority to perform any of these functions including, if so specified, the authority to redelegate any of the functions to officers and employees under the Secretary’s direction and supervision (22 U.S.C. 2651a):

(1) The Deputy Secretary serves as the Acting Secretary should the Secretary die, resign, or otherwise become unable to perform the functions and duties of the office. Both Deputy Secretaries serve as principal advisers to the Secretary in the formulation and conduct of all U.S. foreign policy and assists the Secretary in providing overall supervision and direction to all substantive and administrative elements of the Department.

(2) Under Secretaries assist the Secretary and Deputy Secretaries in the formulation and conduct of U.S. foreign policy and provide specific leadership in matters such as:
   (a) Interdepartmental activities of the U.S. government abroad;
   (b) Intergovernmental affairs;
   (c) Foreign economic and commercial policy;
   (d) Security assistance programs;
   (e) Global human rights, crime, science, and environment programs; and
   (f) Administrative operations of the Department

(3) Ambassadors at Large are appointed by the President and serve anywhere in the world to help with emergent problems, to conduct special or intensive negotiations, or serve in other capacities, as requested by the Secretary or the President.

(4) The Under Secretaries have administrative and management oversight over the Department's Assistant Secretaries and Assistant Secretary equivalents under their respective under secretariats.

b. Bureaus and some other specified Department organizations, usually headed by Assistant Secretaries or positions administratively equivalent to the rank of Assistant Secretary, administer one or more major functions of the Department:

(1) If the bureau has more than one major function and is an organization of substantial size and or complexity, it should be further structured to have deputy assistant secretaries (DASs), or positions ranked equivalent thereto, to oversee these major functions. Where the size and scope of a major function requires it, a managing director may oversee collections of office-level sub-functions. A managing director is never equivalent to deputy assistant secretary rank. Managing directors only report directly to deputy assistant secretaries, and directorate structure is such that managing directors are to have clearly defined managerial responsibilities
(they are not deputies to deputy assistant secretaries).

(2) Assistant Secretaries and equivalents report organizationally to their respective Under Secretary. All Assistant Secretaries and equivalents have the right to direct access to the Secretary of State should circumstances arise where the Assistant Secretary believes it is urgent and direct access is required. Assistant Secretaries should communicate with the Secretary on non-urgent matters via Notes, Information Memos, etc.

c. Offices are structures below the DASs and are constructed around sub-functions that require application of discrete bodies of knowledge and the exercise of policy control within that field. These structures usually are responsible for a complete functional field and are staffed with professionals or specialists who are considered to be authorities in this field.

d. Within the office structure there may be divisions that are tasked with performing contiguous processes or perform staff or operating activities or carry out major sub-elements of the general functional field.

e. Branches and sections are further subdivisions of the responsibilities assigned to a division.

f. Staff (as an organizational unit) is a structure consisting of a minimum of six persons assigned to another organizational unit at any level. Staff functions are generally discrete and self-contained. A staff may or may not have its own chief.

1 FAM 014.5 Organization Planning Principles

(CT:ORG-242; 05-05-2011)

a. Organizational layers should be limited to the minimum number consistent with effective span of control and performance of mission. The addition of nonessential supervisory layers increases problems associated with establishing clear delegation of responsibility and authority, transmission of information, work flow, clearances, operational costs, and morale.

b. Full deputy or assistant positions are normally appropriate only at higher levels within the organization. Proliferation of deputy positions is a major source of poor organizational design and position management.

c. Staff units that report directly to an Assistant Secretary should be established only to provide direct support in the development of policy or planning or to provide a point for coordination of cross-cutting activities.

d. 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 or proliferation; 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.

**1 FAM 014.6 Organizational Control**

*(CT: ORG-352; 01-07-2015)*

a. The Under Secretary for Management (M) must approve, in advance and in writing, changes in functions and responsibilities between bureaus, the establishment of all assistant secretary-equivalent positions and all deputy assistant secretary (or equivalent) positions, as well as all managing director positions, except for the Office of the Inspector General. Bureaus and/or offices must submit their requests (see 1 FAM Exhibit 014.6, 1 FAM Exhibit 014.6 G and 1 FAM Exhibit 014.7, for required documentation and information) to the Director General of the Foreign Service and Director of Human Resources (M/DGHR), through the Office of Resource Management and Organization Analysis (HR/RMA) for approval prior to submission to M.

b. Changes in organizational structure at the office or country director level which do not meet the criteria listed in 1 FAM 014.7 must receive advance written approval from the Under Secretary for Management. Bureaus and/or offices must submit their requests (see 1 FAM Exhibit 014.6 E and 1 FAM Exhibit 014.7 for required documentation and information) to the Director General of the Foreign Service and Director of Human Resources (M/DGHR) through HR/RMA for approval prior to submission to M.

c. Those office- or country director-level organizational changes that satisfy the criteria listed in 1 FAM 014.7 may be approved by the bureau head and then reported to the Under Secretary for Management through HR/RMA one month prior to the planned date of implementation. Bureau authority to approve changes in organizational structure does not include the reclassification of positions involved in the change or the official assignment of organization symbols and codes.

d. The Under Secretary for Management may overturn any organizational change that violates the criteria listed in 1 FAM 014.7 or other applicable requirements. Therefore, to ensure logical and consistent implementation of the intended changes, bureaus are required to consult during the planning process with the:

(1) HR Service Provider on position classification and organizational-design issues;

(2) HR/RMA on organizational-design, resource and position-management issues;

(3) Office of Policy Coordination (HR/PC) on liaison and notification to affected unions;

(4) M/PRI on general management policy and planning issues;
(5) Bureau of Budget and Planning (BP) and Bureau of the Comptroller and
Global Financial Services (CGFS) on funding implications and fiscal
implementation;

(6) Office of Financial Policy (CGFS/FPRA/FP) on organization codes and
symbols (only issued after HR/RMA’s organizational design approval); and

(7) Office of Directives Management (A/GIS/DIR) 1 FAM Volume Coordinator
on codification of the changes. Codification of the 1 FAM may not be
completed until the corresponding 4-FAH changes have been approved and
processed by CGFS/FPRA/FP.

e. Reports of bureau requested changes, bureau-approved changes and bureau
requests for exceptions to the criteria listed in 1 FAM 014.7 must be submitted
to M through DGHR (via HR/RMA) with a copy provided to the Director, Office of
Management Policy, Rightsizing, and Innovation (M/PRI). The reports must
outline the required information in 1 FAM Exhibit 014.7 - ORGANIZATIONAL
RESTRUCTURING CHECKLIST for Preparing Requests to U/S for Management
through M/DGHR (via HR/RMA). This checklist includes:

(1) Background—a concise statement describing the existing organization, the
proposed change(s), and the reason or basis for the changes to the
organizations(s) being proposed, amended, abolished, or changed in title;

(2) Discussion—the effects expected of the new structure. As appropriate, this
section must include:

(a) Any changes in functions or assignment of functions to subordinate
organizational components;

(b) How the proposed organization meets the four broad position-
management goals, i.e.:

(i) Meeting Department priorities;

(ii) Improving service delivery;

(iii) Improving internal management; and

(iv) Improving employee morale and motivation;

(c) The effect, if any, the proposed change will have on other department
components, a list of organizations consulted on the proposal,
resource implications, (positions, full-time equivalent (FTE), and
budget), and a summary of unresolved issues, if any; and

(d) Any alternative organizational options considered and reasons why
rejected; and

(3) Attachments—the report and/or requests must contain:

(a) A proposed mission and function statement for each affected
organizational component (for inclusion in the 1 FAM);

(b) Revised staffing structure and organization charts for the
organizational components; and

(c) A listing of any new or changed delegations of authority (refer to 2 FAM 1140 regarding this issue).

f. Approved organization charts will become the Department’s official organization charts after the functional statements have been published in the 1 FAM. A draft (unpublished) 1 FAM update is a pre-requisite for approval of the final reorganization plan.

g. Changes in organization below the office director level must meet the criteria in 1 FAM 014.7 but may be approved by the Assistant Secretary or equivalent head of the bureau without being reported to the Under Secretary for Management, upon compliance with the following requirements:

(1) To ensure organizational consistency at all levels of the Department, subordinate managers must submit through the Executive Director to the bureau and/or equivalent head a request containing the information described in paragraph d of this section. A copy of this approved organization change request must be retained by the bureau executive director’s office as long as the organizational structure remains valid;

(2) When approving organizational changes below the office director level the bureau/equivalent head must review the proposed changes in light of the organizational principles and control provisions cited herein. Prior to approval, the approving official is required to consult with the appropriate HR Service Provider, HR/RMA, and M/PRI on organizational structure, position classification, position, and general policy implications of proposed structures; and

(3) After approval, and prior to the implementation date, approving official and/or Executive Director must report such changes in writing to the appropriate HR Service Provider, HR/RMA, HR/PC, M/PRI, CGFS/FPRA/FP, and A/GIS/DIR so that necessary implementation steps can be taken.

h. The Office of Financial Policy (CGFS/FPRA/FP) assigns and issues organization codes and symbols after M (when applicable) and HR/RMA’s written organizational design approval. The reasons a bureau or an office may need to establish (create) or change an organization title, symbol or code is when:

(1) A new organizational entity (e.g., office, division, branch, or section) is created;

(2) Current organizational entities are divided, reorganized, or merged;

(3) Current functions change; or

(4) An entity is moved within the Department of State’s organizational structure.

Note: To facilitate the process of organizational changes of bureaus and/or offices in the Department see 1 FAM Exhibit 014.6. Organizational Control
Clearance/Approval Grid and 1 FAM Exhibit 014.7, Organizational Restructuring Checklist.

1 FAM 014.7 Organizational Policies and Criteria

(CT:ORG-342; 08-27-2014)

a. For the reasons noted in 1 FAM 014.5, paragraph a, organizational layering is to be kept to a minimum. If an organization does establish a substructure, that substructure must comprise at least two subcomponents (e.g., no bureau may have just one office-level subcomponent; no office may have just one division level subcomponent, etc.). Routine functions (such as certain administrative activities) may be further subdivided into branch and section levels. See 1 FAM 014.4 for an explanation of the organizational structure layers and nomenclature. A Deputy Assistant Secretary (DAS) is an organizational head, which has no nomenclature for its level, even though there can be multiple directorates or offices reporting to the DAS.

b. Regional bureaus may be organized on sub regional, multiple country, and/or individual country bases. This structure is designed to be flexible and contemplates the regrouping of countries whenever workload, crises, or other operational matters dictate. These organizational components are equivalent to an office.

c. Organizational structures involving full deputy or assistant positions are to be minimized and are reserved for situations where the volume and nature of the principal’s work cannot be effectively accomplished by one person. In particular:

(1) A deputy or assistant is expected to participate with the principal in carrying out the full range of management responsibilities, and to act with full authority over the total work of the organization during the principal’s unavailability or absence. Where the supervision of an office needs to be subdivided, the appropriate subcomponents are divisions led by division chiefs. The use of specialized deputies (usually multiple in numbers) to oversee specific aspects of the organization (e.g., Deputy for Policy or Deputy for Operations) is considered an exception to this policy and will rarely be justified;

(2) Deputy positions may not be authorized with respect to Under Secretaries, deputy assistant secretaries or equivalents, managing directors, division chiefs, branch chiefs, section chiefs, or staff chiefs; and

(3) The classification approval required for the establishment of full deputy/assistant positions is vested in the director and the appropriate HR Service Provider; all requests to classify full deputy/assistant positions will be reviewed against criteria issued by HR/RMA (use Form DS-3051, Checklist for Requesting Establishment of Deputy/Assistant Positions).
d. To maintain effective and efficient span of control, the following criteria will guide the design of the organizational structure:

(1) An office must have at least 12 full-time/part-time permanent positions;

(2) Any organizational entity or subcomponent (i.e., division, branch, or section) requires a minimum of eight full-time/part-time permanent positions; except for staff units which require a minimum of six full-time/part-time permanent positions;

(3) Subdividing an organization must result in the smallest possible number of subcomponents consistent with the criteria listed herein and with the requirements of the organization’s functional mission; and

(4) If an office is subdivided, the total number of full-time/part-time permanent positions in the office (including divisions/branches/sections) must be at least 17, eight for two divisions plus the office director. If the organization drops below the appropriate number of positions for a period exceeding 6 months, consideration should be given to its abolishment and/or consolidation into some other existing unit.

e. Because the Department’s fundamental organizational building block is the office, the following guidelines should be considered carefully in creating an office:

(1) Like functions should be grouped together in an organization;

(2) Integral policy or operational fields should not be divided into separate offices; and

(3) The level and degree of policy and negotiating responsibility exercised by the organization are important factors in determining the need for an office.

1 FAM 014.8 Functional Statements

(CT:ORG-342; 08-27-2014)

a. Functional statements provide the minimum detail to define the area of responsibility of an organizational unit; to distinguish its activities from those of related units; and to eliminate potential overlap and duplication. To facilitate the classification of positions at all organization levels, functional statements are required for all approved organizational structures, even though such statements may not be published in the FAM.

b. A statutory authority must be delegated in writing by the official with that authority in order for the delegation to be effective. A functional statement of authority that is not statutory, approved by the Under Secretary for Management constitutes an official delegation of authority for the Department. Authority vested in an individual position becomes a part of the authority of each position in the direct line of supervision above that position,
except where authority is specifically vested by law in a designated official. Once the Under Secretary for Management has delegated authority over a topic to a bureau, the bureau heads may re-delegate that authority within their bureau if the Under Secretary has specifically granted re-delegation authority.

c. Bureaus or offices are responsible for submitting updated functional statements to the Office of Directives Management (A/GIS/DIR), whenever necessary, to ensure that 1 FAM, Organization and Functions, is current at all times. Bureaus or offices are also responsible for providing copies of updated functional statements and organization charts to the appropriate HR Service Provider and HR/RMA to facilitate their classification and position-management responsibilities.

**1 FAM 015  ESTABLISHING OR CHANGING ORGANIZATION TITLES, SYMBOLS, AND/OR CODES**

*(CT:ORG-348; 10-09-2014)*

a. Organization symbols and codes are assigned by the Bureau of the Comptroller and Global Financial Service’s Office of Financial Policy (CGFS/FPRA/FP) after proper Under Secretary for Management and Office of Resource Management and Organization Analysis (HR/RMA) organizational design approval and bureau head approval. New Department organizational entities are to have CGFS/FPRA/FP assign and/or approve their symbols before obtaining organization codes.

b. Organizational changes (i.e., office names and symbols) at least down to the office level **must** be codified in 1 FAM. A draft of the update to the 1 FAM must accompany any request for approval and assignment of organization symbols and codes.

**Note:** See 1 FAM Exhibit 014.8 a, "Title, Symbols and Codes" process map, which illustrates the process.

**1 FAM 015.1 Definitions**

*(CT:ORG-352; 01-07-2015)*

**Master Reference Data (MRD):** A data management tool for housing reference data, such as the list of Organization Symbols or Organization Codes, for use in Department of State systems. The Bureau of Information Resource Management's Operations Systems and Integration Office, Enterprise Programming and Integration Division, Data Management Branch (IRM/OPS/SIO/EPI/DM) maintains this tool for use by all Department of State employees.
Organization Code: A six-digit number assigned to an organizational entity. The organization codes are established to identify the responsible and benefiting organizations for accounting, budgeting, cost accounting, payroll, personnel management and reporting, supplies, equipment and property accountability, and inventory management. Organization codes are assigned to domestic offices, posts abroad, and special offices abroad; points of origin abroad, destination, and locations of personnel; post activities, as required; other Federal agencies, international organizations, and other activities, as required. The organization codes authorized for Department of State and non-serviced agencies' worldwide use are established and maintained by CGFS/FPRA/FP, published in 4 FAH-1 H-400, Organization Structure, and included in the MRD.

Organization Symbol: A series of abbreviations or acronyms expressed in letters that represent the title of an organizational entity (sometimes called office symbols). Organization symbols identify the levels or elements of a bureau’s organizational structure. Short-form organization symbols (limited to twelve characters) are assigned by CGFS/FPRA/FP after changes in an organization are approved (see 1 FAM 014.6 for the detailed approval process and required documentation). The list of short-form organization symbols is published in 4 FAH-1 H-420. Long-form organization symbols are currently maintained by the Office of Directives Management (A/GIS/DIR). CGFS/FPRA/FP and A/GIS/DIR jointly maintain the list of relationships between short-form and long-form organization symbols for input to the MRD.

Organization Title: The descriptive name that identifies the function and responsibilities of an organization entity. A/GIS/DIR and CGFS/FPRA/FP jointly provide input to the master list of organization titles and the relationship to the Organization Symbol in the MRD.

1 FAM 015.2 Establishing, Changing, or Discontinuing an Organization Title, Symbol, and/or Code After Approval

(CT:ORG-348; 10-09-2014)

a. When changes in an organization and/or program are approved, the responsible office (usually the Executive Director) must send a written request with the Office of Resource Management and Organization Analysis (HR/RMA) organizational structure design approval and head of bureau approvals for the establishment, change, or discontinuation of organizations to CGFS/FPRA/FP in accordance with 4 FAH-1 H-117 Code Maintenance. The request must include the approvals, an updated bureau organization chart, and the draft update to the 1 FAM functions and responsibilities statements. The request with documentation must be sent via SMART record e-mail.

b. When establishing or changing an organization name, related organization
symbol and/or code, the responsible office may suggest organization symbols and codes. Bureaus can refer to their existing codes in 4 FAH-1 H-420 to see the structure and to review all their codes for other potential changes, such as organizations that have been discontinued.

c. CGFS/FPRA/FP will review the request and work with the bureau to ensure titles, symbols, and codes meet the requirements and will assign new and revised titles, symbols, and codes as required and discontinue any codes no longer required.

d. Bureaus must also choose a pay period in which they want these changes to become effective. The date they choose is generally based upon the completion date of Form SF-50, Notification of Personnel Action, for the employees that are affected when an organization code is established, changed, or discontinued. Bureaus will have approximately three pay periods to complete personnel actions and work with other systems to transfer staff from codes being discontinued. This information (effective dates) will be recorded in the MRD.

e. After CGFS/FPRA/FP approves the request, it updates 4 FAH-1 and notifies the appropriate systems and CGFS personnel, the requesting bureau, other bureau personnel, as needed, and A/GIS/DIR that changes to the 4 FAH-1 have been made. CGFS/FPRA/FP will also provide updates to IRM/OPS/SIO/EPI/DM to record changes in the MRD to reflect the new and revised titles, symbols, and/or codes. Application systems that require real-time notifications of changes in titles, symbols, and/or codes may receive these updates directly from the MRD in the future. CGFS/FPRA/FP will consolidate its updates to 4 FAH-1 and send them to A/GIS/DIR with a change transmittal for publication on the Office of Directives Management intranet site.

f. Bureaus will use the CGFS/FPRA/FP 4 FAH-1 update to finalize their 1 FAM functions and responsibilities statements as soon as possible following the publication of the updated 4 FAH-1.

1 FAM 016 THROUGH 019 UNASSIGNED

1 FAM Exhibit 013.6
THE ROLE OF THE PEACE CORPS: TEXT OF SECRETARY OF STATE TELEGRAM OF February 10, 2009

(CY: ORG-342; 08-27-2014)

R 102220Z FEB 09
FM SECSTATE WASHDC
TO ALL DIPLOMATIC AND CONSULAR POSTS COLLECTIVE
RUEHTRO/AMEMBASSY TRIPOLI 5558
BT
UNCLAS SECTION 01 OF 02 STATE 012309

FROM THE SECRETARY TO ALL CHIEFS OF MISSION

E.O. 12958: N/A
TAGS: AOPE, AMGT
SUBJECT: PEACE CORPS-STATE DEPARTMENT RELATIONS

REF: 07 STATE 78240

1. INTRODUCTION: In the context of this Administration’s foreign assistance programs and initiatives to manage those programs and the U.S. presence overseas, I am delighted to take this opportunity to reaffirm to all Chiefs of Mission the basic principles that guide the Department’s dealings with the Peace Corps. The President and I strongly support the objectives and purposes of the Peace Corps and wish to strengthen its capabilities and effectiveness in the years ahead. The Peace Corps is pursuing new opportunities in the twenty-first century, while also ensuring the safety and security of Peace Corps volunteers to the maximum extent possible. The State Department and all of our overseas missions are committed to helping in every way possible.

2. PEACE CORPS; PURPOSE: As stated in the Peace Corps Act, the purpose of the Peace Corps is to promote world peace and friendship. The agency’s essential role is
threefold:

A. to provide American volunteers to help meet the needs of the people of the host countries for trained manpower;

B. to help promote a better understanding of the American people on the part of the people served; and

C. to help promote a better understanding of other people on the part of the American people. The Peace Corps makes a significant contribution to building international understanding and sympathy among people, an integral long-term objective of American foreign policy.

3. RELATIONSHIP BETWEEN THE U.S. MISSION AND PEACE CORPS STAFF:

A. To fulfill its responsibilities successfully and to retain its unique people-to-people character, the Peace Corps must remain substantially separate from the day-to-day conduct and concerns of our foreign policy. The Peace Corps’ role and its need for separation from the day-to-day activities of the mission are not comparable to those of other U.S. Government agencies.

B. The President’s Letter of Instruction and other relevant laws and regulations (including your delegated duties under the Diplomatic Security Act) outline your authority over and responsibilities for all Executive Branch employees, including Peace Corps staff. As
Secretary of State, I am responsible for the "continuous supervision and general direction" of Peace Corps programs to ensure they are effectively integrated both at home and abroad, and "the foreign policy of the United States is best served thereby." Like my predecessors, I ask that you join me in exercising these authorities so as to provide the Peace Corps with as much autonomy and flexibility in its day-to-day operations as possible, so long as this does not conflict with U.S. objectives and policies. As Secretary Rusk stated in 1961, "The Peace Corps is not an instrument of foreign policy because to make it so would rob it of its contribution to foreign policy~."  

C. The Peace Corps Director will notify you of the selection of the Country Director to be assigned to the Mission, a decision reserved to the Director exclusively. Peace Corps Country Directors and staff members are U.S. officials and are a part of the U.S. Mission; as such they are covered by NSDD-38.  

D. Peace Corps Country Directors and staff members are present in the country under a separate Peace Corps country agreement under which they have certain privileges, including tax and customs duties exemptions, but no immunities from the jurisdiction of the host government. Peace Corps employees should not be placed on the Mission duty roster or asked to assume Mission administrative functions or other responsibilities outside their Peace Corps duties except in unusual situations. Peace Corps officials are provided with official passports, not diplomatic passports. With
regard to Mission descriptions of USG activities overseas, reference to Peace Corps activities in a Mission Strategic Plan should be limited, and confined to the Chief of Mission statement. The Peace Corps welcomes the Chief of Mission’s assessment of the Country Director’s or other staff member’s performance for incorporation into the annual and on-going evaluation process by the Peace Corps of its employees.

E. The Peace Corps expects its employees to live at a level that appropriately reflects the Peace Corps’ status as a grassroots, people-to-people, volunteer organization. Traditionally Peace Corps offices and staff residences have not been located in Mission compounds or in areas predominantly frequented by foreigners. As provided in section 691 of the Foreign Relations Authorization Act, Fiscal Year 2003, Public Law 107-228, to the degree permitted by security considerations, you should give favorable consideration to requests from the Peace Corps to maintain its offices at locations separate from the Mission and thus preserve this autonomy.

4. PEACE CORPS VOLUNTEERS:

A. For all relevant purposes, volunteers are not considered to be U.S. Government employees. They are not official members of the Mission and do not have diplomatic immunity. Generally you and other members of the Mission should not treat them as employees, but should treat them in the same manner as you do all other private American citizens resident in your area.
B. Volunteers are selected on the basis of technical expertise, motivation, and personal characteristics relevant to the Peace Corps’ purposes of providing technical assistance and fostering improved understanding of the American people by host-country citizens and of host-country peoples on the part of the American people. They are expected to maintain an apolitical stance with respect to the political affairs in their countries of service.

C. In the absence of overriding security concerns, the Peace Corps is responsible for determining what volunteers will do and where they will be located in-country.

D. Peace Corps activities must be completely and absolutely separated from intelligence activities. There should be no contact whatsoever between anyone in the intelligence community and any Peace Corps volunteer or trainee. Peace Corps staff should not be included in meetings where defense or intelligence issues are discussed, unless volunteer safety is at issue.

5. COUNTRY AGREEMENTS: The Peace Corps must obtain the Department of State’s advice and approval before new programs are proposed or country agreements are negotiated. Embassies work closely with Peace Corps representatives in the process of negotiating, concluding, and when appropriate, terminating Peace Corps country agreements. The Department will follow the Circular 175 procedure set out in 11 FAM 700 in approving negotiation, conclusion, or termination of
country agreements. Thereafter, the Peace Corps will ordinarily make direct contact with host governments and arrange for the implementation of country agreements. The Peace Corps representative will keep you fully informed and appropriately consult with you regarding the programs being planned and the number of volunteers involved. Before making a decision about terminating activity in a given country, the Peace Corps will conduct a thorough review in consultation with you and the Department of State. (As mentioned above, terminating a country agreement requires Department approval under Circular 175 procedures.)

6. CLOSING: For nearly 50 years, Ambassadors and overseas Missions have assisted the Peace Corps, enabling more than 195,000 volunteers to demonstrate the American people’s concern for the welfare of the citizens of other countries and their commitment to peace. The volunteers’ success in those endeavors has enhanced significantly the image of the United States abroad. With your assistance, the Peace Corps will continue to fulfill its important mission. I rely on you to manage constructively the Peace Corps relationship at your post.

7. Minimize considered.

CLINTON

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This Exhibit is meant to facilitate the process for organizational changes of bureaus and/or offices in the Department and includes definitions of grid categories and key organizations’ points of contact.

<table>
<thead>
<tr>
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<th>(3)</th>
<th>(4)</th>
<th>(5)</th>
<th>(6)</th>
</tr>
</thead>
<tbody>
<tr>
<td>A Type of Request</td>
<td>Consultation Required</td>
<td>Documentation Required for Request</td>
<td>Who Must Clear on Request Before It Is Sent to Approver</td>
<td>Who Must Approve Request</td>
<td>Who Must Be Notified of Approval</td>
</tr>
<tr>
<td>Establishment or termination of a bureau (ref 1 FAM 014.4 (b))</td>
<td>Executive Office, HR Service Provider, HR/RMA, HR/PC, M/PRI. Additionally, H, L, and BP must be consulted regarding Congressional notification requirements.</td>
<td>Action Memo from A/S or Equivalent or higher through M/DGHR (via HR/RMA) to U/S for Management</td>
<td>HR Service Provider, HR/RMA, HR/PC, L, M/PRI, H, BP, and M Front Office</td>
<td>U/S for Management (through M/DGHR)</td>
<td>HR Service Provider, HR/RMA, HR/PC, L, M/PRI, H, BP, CGFS/DCFO, CGFS/FPRA/FP, A/GIS/DIR</td>
</tr>
<tr>
<td>B Change in functions or responsibilities between bureaus (ref 1 FAM 014.6(a))</td>
<td>Executive Office, HR Service Provider, HR/RMA, HR/PC, M/PRI and the other affected bureau. H, L, and BP must be consulted regarding Congressional notification requirements.</td>
<td>Action Memo from A/S or Equivalent or higher through M/DGHR (via HR/RMA) to U/S for Management</td>
<td>HR Service Provider, HR/RMA, HR/PC, L, M/PRI, H, BP, and M Front Office</td>
<td>U/S for Management (through M/DGHR)</td>
<td>HR Service Provider(s), HR/RMA, HR/PC, L, M/PRI, H, BP, CGFS/DCFO, CGFS/FPRA/FP, A/GIS/DIR and IRM/OPS/SIO/EPI/DIM</td>
</tr>
<tr>
<td>C</td>
<td>Establishment of all A/S and DAS (or their equivalent) positions, as well as all Managing Director positions, except for OIG. (ref 1 FAM 014.6a)</td>
<td>Executive Office, HR Service Provider and HR/RMA</td>
<td>Action Memo from A/S or Equivalent or higher through M/DGHR (via HR/RMA) to U/S for Management</td>
<td>Requesting Bureau Front Office, HR Service Provider, HR/RMA, DGHR, M/PRI, and M Front Office</td>
<td>U/S for Management (through M/DGHR)</td>
</tr>
<tr>
<td>D</td>
<td>Changes in organizational structure at the office or country director levels which do not meet the criteria in 1 FAM 014.7 (ref 1 FAM 014.6b and 014.g)</td>
<td>Executive Office, HR Service Provider, HR/RMA, HR/PC, M/PRI</td>
<td>Action Memo from A/S or equivalent through M/DGHR (via HR/RMA) to U/S for Management; with copy to M/PRI requesting exception(s) to the criteria listed in 1 FAM 014.7</td>
<td>U/S for Management (through M/DGHR)</td>
<td>HR Service Provider, HR/RMA, HR/PC, M/PRI, CGFS/FPRA/FP, A/GIS/DIR and IRM/OPS/SIO/EPI/D M</td>
</tr>
<tr>
<td>E</td>
<td>Changes in organizational structure at the office or country director levels which do meet the criteria in 1 FAM 014.7 (ref 1 FAM 014.6c and 014.g)</td>
<td>Executive Office, HR Service Provider, HR/RMA, HR/PC, M/PRI</td>
<td>Information Memo from A/S or equivalent through M/DGHR to U/S for Management; with copy to M/PRI transmitting report of bureau-approved changes (see 1 FAM 014.6d for attachments)</td>
<td>Bureau Head</td>
<td>U/S for Management before implementation as well as HR Service Provider, HR/RMA, HR/PC, M/PRI, CGFS/FPRA/FP, A/GIS/DIR and IRM/OPS/SIO/EPI/D M</td>
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<tr>
<td></td>
<td>Changes in the organization</td>
<td>Executive Office, HR Service</td>
<td>SMART e-mail from Office Director to A/S</td>
<td>HR Service Provider, A/S or equivalent</td>
<td>HR Service Provider, HR/RMA, HR/PC, M/PRI and A/GIS DIR</td>
</tr>
</tbody>
</table>
### Grid Definitions:

1. **Type of Request:** The reason or event triggering the request and associated 1 FAM reference point.

2. **Consultation Required:** These offices must be consulted before the request is officially submitted for clearances/approval. (See also 014.6)

3. **Documentation Required for Request:** What type of document is to be submitted; e.g., Action Memo, Information Memo, SMART e-mail, etc. (See 1 FAM 014.6e and 1 FAM Exhibit 014.7 for additional documentation and information requirements.)
(4) Who Must Clear on Request BEFORE it is sent to Approver: The document must have a clearance page indicating these offices have reviewed and cleared the document.

(5) Who Must Approve Request: The required approval level.

(6) Who Must be Notified of Approval (the requesting bureau is to ensure that these offices are notified of approval – or disapproval – before changes can be made to systems, documents, etc.)

<table>
<thead>
<tr>
<th>Key Points of Contact</th>
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<tbody>
<tr>
<td>Organization</td>
</tr>
<tr>
<td>HR/RMA</td>
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<tr>
<td>HR/PC</td>
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<tr>
<td>M/PRI</td>
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<tr>
<td>BP</td>
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<tr>
<td>CGFS/FPRA/FP</td>
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<td>A/GIS/DIR</td>
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<td>IRM/OPS/SIO/EPI/DM</td>
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<td>L</td>
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<td>H</td>
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**1 FAM Exhibit 014.7**

ORGANIZATIONAL RESTRUCTURING CHECKLIST FOR PREPARING REQUESTS TO U/S for MANAGEMENT THROUGH M/DGHR (via HR/RMA)

*(CT:ORG-342; 08-27-2014)*

The purpose of this Exhibit is to provide bureaus with an organizational restructuring checklist for the related requests they submit to HR/RMA. Note that it essentially summarizes HR/RMA’s review process of their request. Indicating YES means the step was addressed in the DRAFT package and NO means it will need to be added. In the Recommended Action column, HR/RMA will provide specific comments on details, which will be needed for the FINAL package.

Please contact HR/RMA x 32329 for consultation before/during your reorganization process and while drafting this checklist.

<table>
<thead>
<tr>
<th>Step</th>
<th>Include in Package</th>
<th>Recommended Action</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>YES</td>
<td>NO</td>
</tr>
<tr>
<td>(1) A description of the existing and proposed organization.</td>
<td></td>
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<tr>
<td>(2) An outline of the proposed changes.</td>
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<tr>
<td>(3) The reasons for the changes.</td>
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<tr>
<td>(4) An explanation of how the proposed organization meets the Department's</td>
<td></td>
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</table>
management goals.

(5) A communications plan outlining how the reorganization team is planning to informally solicit views and input from affected stakeholders.

(6) A request for an exception to the Department’s organizational policy and criteria if the proposed structure does not meet size or other requirements. The request must include an explanation of why the organization must be structured as proposed and a discussion of alternatives that were considered.

(7) A justification of resource requirements. If additional resources (personnel and/or budget) are essential, a request for additional resources must be included outlining a complete justification for the new resources.

(8) Current and revised staffing and organization charts for the affected areas must be attached including all contractors (e.g., personal service contractors and others).

(9) Crosswalk - A listing of full-time regular positions -- current to new organizational home

For further guidance see Excel spreadsheet below for RMA Official Format.

(10) A description of proposed functional statements for each affected organization must be included.

(11) An outline of proposed FAM changes. Final FAM updates are a pre-requisite for the final re-organization approval plan.
<table>
<thead>
<tr>
<th>Current Organization Structure</th>
<th>RMA USE</th>
<th>Proposed Organization Structure</th>
<th>RMA USE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Org Address</td>
<td>Org Code</td>
<td>Position Number</td>
<td>Position Title</td>
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*For new positions, leave the "Current Org Structure" columns blank and input new position data under "Proposed Org Structure".

*For contractor positions please enter data in both charts but leave the "Position Number and Position Grade" columns blank in both charts.

*Please number all current and proposed organization charts of the organizational entities that you are presenting for RMA's review. Also, indicate in columns "O & Q" the organization chart number home to the position.
1 FAM Exhibit 014.8
Titles, Symbols and Codes Process Map

(CT:ORG-342; 08-27-2014)

Process for changes in titles, symbols and/or codes (1 FAM 015, 1 FAM 015.2)

- Bureau prepares request for change in title, symbol or code.
- Approved request?
  - Yes: Office level or above (Bureau, Country level, Office Level).
  - No: Below office level.

- New Department organizational entity?
  - Yes: What level is the change?
  - No: Request approved.

- Office level or above (Bureau, Country level, Office Level)
  - Approved request?
    - Yes: Change approved.
    - No: Below office level.

- What level is the change?
  - Approved request?
    - Yes: Change approved.
    - No: Below office level.

- Request approved?
  - Yes: Change approved.
  - No: Below office level.

- HR/RMA reviews and sends package via SMART record e-mail.
- Executive Director sends approved request for change with approvals, updated bureau organization chart, draft update to 1 FAM functions and responsibilities statement, and effective date of change (pay period).
- Provide updates to IFM/OPS/SIG/EPIM/OM to record changes in MBD.
- CGFS/FPA/PP assigns symbols/codes. Updates 4 FAM.
- Change approved.
- Consolidates updates to 4 FAM-1 and sends change transmittal to A/GIS/DIR for publication on Office of Directives Management Intranet site.

Unclassified