

REORGANIZATION

Personnel Cabinet
Office of State Budget Director
April 7, 2008
April 14, 2008



Objectives

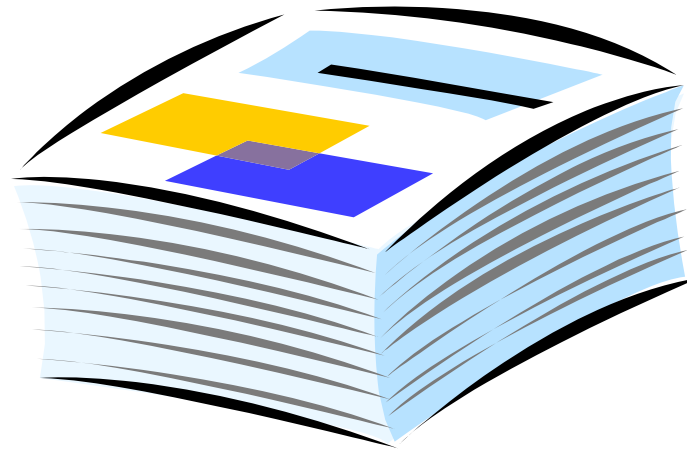
- ✓ Introductions
- ✓ KRS 12.028
- ✓ Reorganization Packet
- ✓ GOPM Process and Timelines
- ✓ Personnel Actions
- ✓ Questions



KRS 12:028

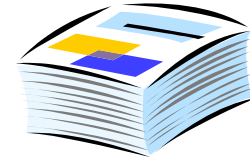
- Provides legal framework
- Reorganization Plan
- Reorganization (executive order) must be ratified by the General Assembly

Reorganization Packet





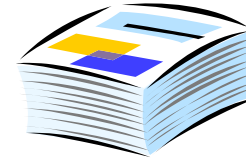
Reorganization Packet



- Executive Order
- Administrative Order
- Cover Letter
- Reorganization Plan
- Current Organizational Chart
- Proposed Organizational Chart
- Checklist of Changes
- Structural From-To Crosswalk
- Position From-To Crosswalk
- Budget From-To Crosswalk
- Chart of Accounts From-To Crosswalk

Executive Order

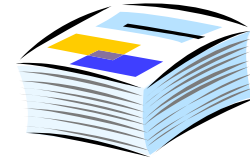
Reorganization Packet



- Affect **top** organizational levels
 - Cabinets
 - Departments
 - Offices
 - Divisions
- Organizational entities mentioned in the plan must be mentioned in the order
- Signed by the Governor or constitutional officer
- Submitted with reorganization packet **without signature**
- Must be submitted to GOPM 60 days prior to effective date

Administrative Order

Reorganization Packet



- Affect lower organizational levels
 - Branches
 - Sections
 - Units
- Organizational entities mentioned in the plan must be mentioned in the order
- Signed by the cabinet secretary, constitutional officer or independent agency head
- Submitted with reorganization packet **with signature**
- Must be submitted to GOPM 30 days prior to effective date



What **NOT** to put in an Executive or Administrative Order

- Names of individuals
- Specifics or explanation of plan
- Positions being moved
- Formal titles
 - For example, if you say, "...the Accounting Branch to be headed by a **Graduate Accountant Manager**," you have locked in the classification.
 - You must say, "...the Accounting Branch to be headed by a manager," or: "...a section to be headed by a supervisor."
 - Executive orders may say, "...to be headed by a "director" or an "executive director" in the case of a new division or office.



Executive and Administrative Orders

Bad Example

The Division of Asteroids is hereby created and established within the Department of Universe Services within the Cabinet of Galaxies. The Division of Asteroids shall be headed by **James T. Kirk, Division Director II**, appointed by the Secretary of the Cabinet of Galaxies pursuant to KRS 12.050. The Division shall be composed of **two branches with sixteen employees** as deemed appropriate by the Secretary of the Cabinet of Galaxies and set forth by Administrative Order. **The Division will be responsible for monitoring all asteroid activity in outer space.**

Good Example:

The Division of Asteroids is hereby established within the Department of Universe Services within the Cabinet of Galaxies. The division shall be headed by a director who shall be appointed by the secretary of the Cabinet of Galaxies pursuant to KRS 12.050. The division shall be composed of such organizational entities as deemed appropriate by the secretary of the Cabinet of Galaxies and set forth by administrative order.

Executive Order - Example





EXAMPLE OF AN EXECUTIVE ORDER

EXECUTIVE ORDER ____ RELATING TO REORGANIZATION

ESTABLISHMENT OF THE DIVISION OF ____ IN THE DEPARTMENT OF ____ "XXX" CABINET

WHEREAS, the Commonwealth of Kentucky has always promoted effective and efficient management of state government operations; and

WHEREAS, improved efficiency and economy will result from the establishment of an organizational entity that utilizes effective management practices;

NOW, THEREFORE, I, Steven L. Beshear, Governor of the Commonwealth of Kentucky, by virtue of the authority vested in me by the Constitution and KRS 12.028, do hereby order and direct the following:



- I. The Division of _____ is hereby created and established within the Department of _____ within the "XXX" Cabinet. The Division of _____ shall be headed by a director appointed by the Secretary of the "XXX" Cabinet pursuant to KRS 12.050. The Division shall be composed of such organizational entities as deemed appropriate by the Secretary of the "XXX" Cabinet and set forth by Administrative Order.

- II. The Division of _____ within the Department of _____ within the "XXX" Cabinet is hereby abolished. All personnel, records, files, equipment, and funds heretofore assigned to the Division of _____ are hereby transferred to the Division of _____ and shall be assigned to organizational entities as deemed appropriate by the Secretary of the "XXX" Cabinet and set forth by Administrative Order.



- III. The Office of _____ is hereby created and established within the “XXX” Cabinet. The Office of _____ shall be headed by an executive director appointed by the Secretary of the “XXX” Cabinet pursuant to KRS 12.050.
- A. The Division of _____ is hereby created and established within the Office of _____ within the “XXX” Cabinet. The Division of _____ shall be headed by a director appointed by the Secretary of the “XXX” Cabinet pursuant to KRS 12.050.
- IV. The Division of _____ within the Department of _____ within the “XXX” Cabinet is hereby renamed the Division of _____.



V. The "XXX" Cabinet, **Finance and Administration Cabinet, Office of State Budget Director**, and the **Personnel Cabinet** shall take all necessary action to effectuate this Order.

This Order shall be effective _____, 200_____.

Signed this _____ day of _____, 200_____.

Steven L. Beshear, Governor
Commonwealth of Kentucky

Trey Grayson
Secretary of State

Administrative Order - Example





EXAMPLE OF AN ADMINISTRATIVE ORDER

"XXX" CABINET
Commonwealth of Kentucky
Frankfort 40601

ADMINISTRATIVE ORDER
2008 - X

WHEREAS, Executive Order _____, effective [month] 16, 200____, established, changed, and reorganized some major divisional entities within the "**XXX**" Cabinet; and


WHEREAS, KRS 999.999 authorizes the Secretary of the "**XXX**" Cabinet to establish the internal organization of the "**XXX**" Cabinet and to organize the Cabinet into such offices and administrative units as the Secretary deems necessary to perform the functions, exercise the power, and fulfill the duties of the Cabinet; and



WHEREAS, it is deemed advisable at this time to clarify the organizational entities within the Department of _____ in order to improve the efficient and effective delivery of services within such Department;

NOW, THEREFORE, pursuant to the authority vested in me by KRS 999.999, I, _____, Secretary of the "XXX" Cabinet, do hereby order and direct the following organizational structure changes within the Department of _____:

- I. The _____ Branch is hereby established within the Department of _____ and shall be headed by a manager who shall report directly to the Commissioner of the Department.



If an Exec
& Admin
Order are
done at the
same time.

- I. The Division of _____, as established in Executive Order _____ shall have the following organizational structure:
 - A. Red Branch to be headed by a manager who shall report to the director of _____.
 - B. Blue Branch to be headed by a manager who shall report to the director of _____.
 1. White Section to be headed by a supervisor who shall report to the manager of the Blue Branch.
 - a. Unit A to be headed by a unit leader who shall report to the supervisor of White Section.



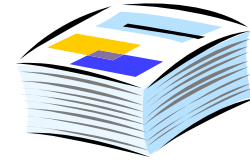
- III. The Division of _____, shall have the following changes in organizational structure:
 - A. The _____ Branch is hereby established and shall be headed by a manager who shall report to the director of _____.
 - B. The _____ Branch is hereby abolished.
 - 1. The _____ Section is hereby abolished.
 - a. The _____ Unit is hereby abolished.
 - C. The _____ Branch is hereby renamed the _____ Branch.
- IV. The “XXX” Cabinet, **Finance and Administration Cabinet**, **Office of State Budget Director**, and **Personnel Cabinet** shall take all necessary steps to effectuate this Order.
- V. This Order shall become effective _____ 16, 200__, and negates all previous administrative orders to the extent of any conflict.

Signed this _____ day of _____, 200_____.

Cabinet Secretary

Cover Letter

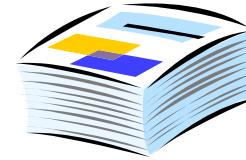
Reorganization Packet



- Office of State Budget Director/
Governor's Office for Policy and Management
- Signed by cabinet secretary, constitutional officer or independent office head (boards and commissions)
- Identifies agency contact person

Reorganization Plan

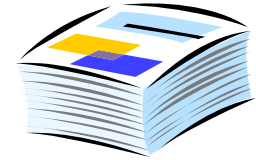
Reorganization Packet



- Detailed explanation of plan
 - Summary of Plan
 - Fiscal Impact
 - Personnel Impact
 - Net Effect
- Effective date
 - 16th of the month to prevent overlap with increment dates
- Need for change
- Organizational entities mentioned in the orders must be mentioned in the plan
- Reference change in laws, if applicable

Current Organizational Chart

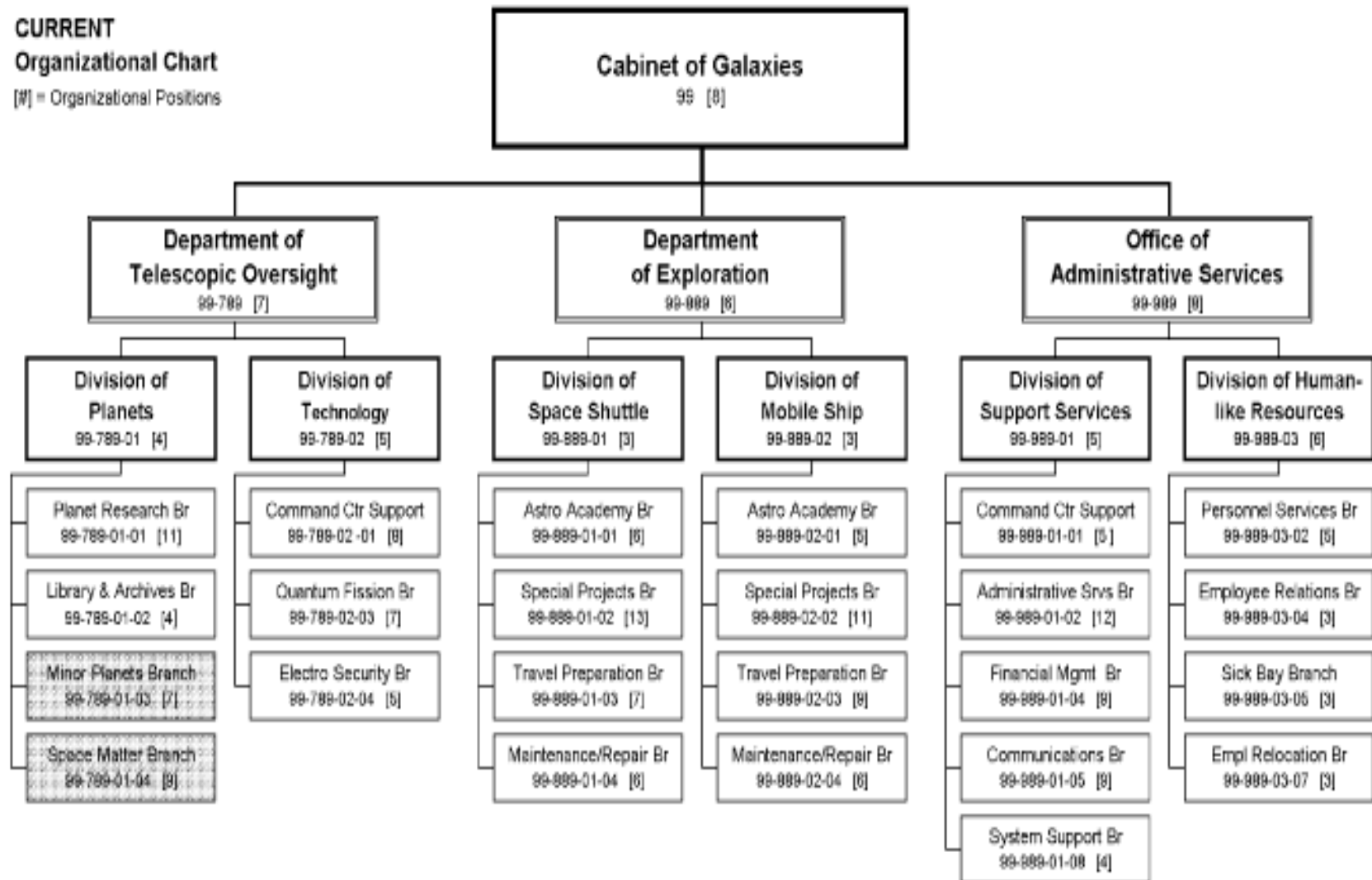
Reorganization Packet



- Current structure
 - Name of organizational structure
 - Organizational number
 - Number of positions (vacant or filled)
- No employee names or titles
- Contact the Personnel Cabinet, Division of Employee Management for current agency charts at (502) 564-6464

**CURRENT
Organizational Chart**

[#] = Organizational Positions



Proposed Organizational Chart

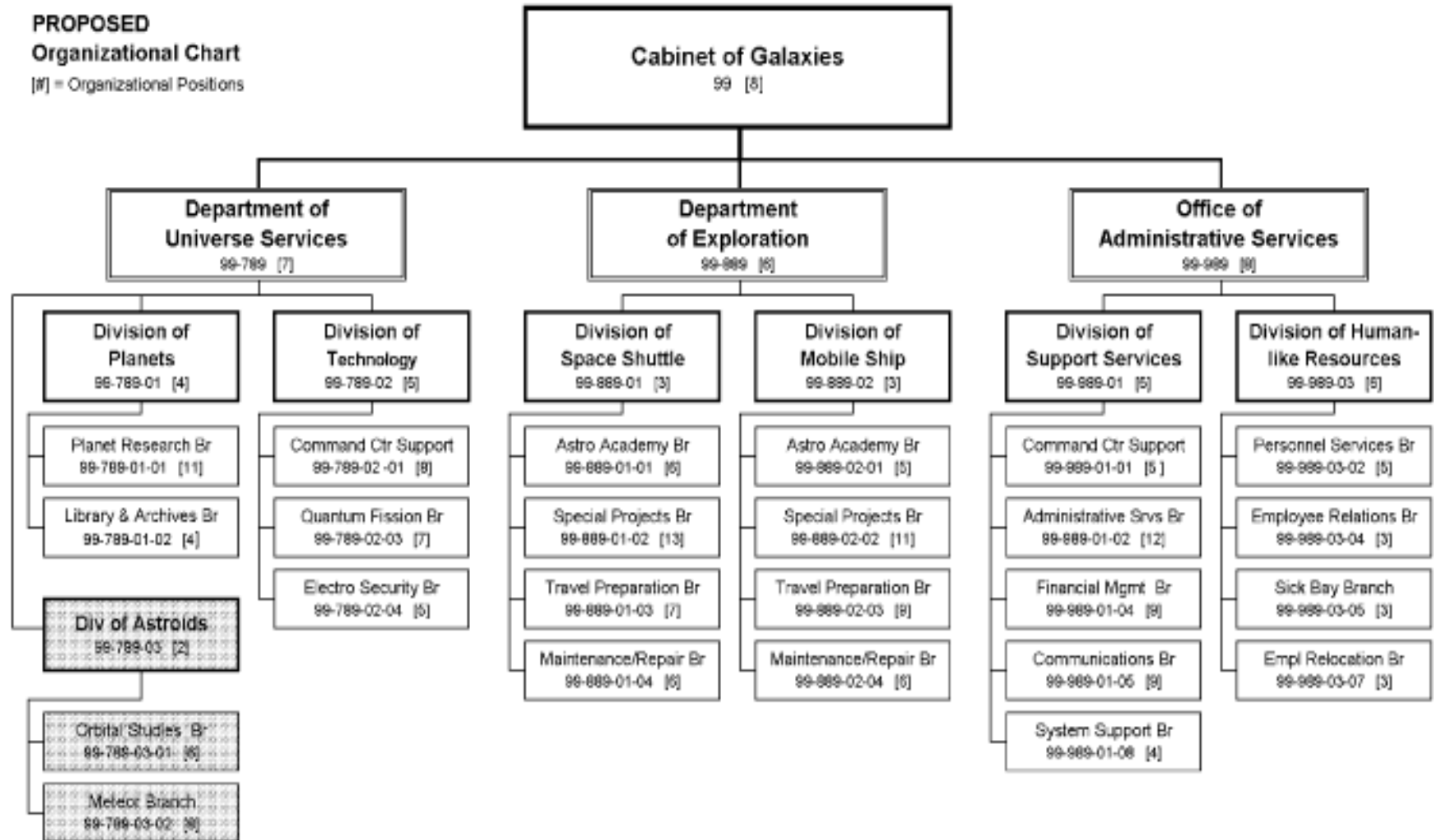
Reorganization Packet



- Proposed structure
 - Name of organizational structure
 - Organizational number
 - Number of positions (vacant or filled)
- No employee names or titles

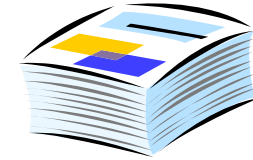
**PROPOSED
Organizational Chart**

[#] = Organizational Positions



Checklist of Changes Relating to Reorganization

Reorganization Packet



- Provides specific information relating to the reorganization
- Information must agree completely with Order and Plan
- Identifies agency contact person relating to the reorganization

7. Checklist of Changes Relating to REORGANIZATION

Governor's Office for Policy and Management

Agencies who wish to process an executive or administrative order must complete this form and send it and the documentation described herein to the Office of State Budget Director, Governor's Office for Policy and Management, Room 284, Capitol Annex, Frankfort, KY 40601. The information will be processed through GOPM and the various central agencies for their reviews as described below. Please be sure your answers on this form agree completely with the effects of the actual order.

Reorganizations that involve division levels and above require an executive order. Reorganizations that involve branches and below may be accomplished through an administrative order, unless specific statutes are being affected, in which case an executive order would be required.

Once all these review processes are completed, the new organizational structure will be entered into the master data base that serves the statewide computerized payroll, personnel, and accounting systems. Below are summary review requirements.

Summary of Who Reviews Executive Orders & Administrative Orders:	Exec. Order: Division or above	Admin. Order: Branch or below,	Who to Call for Information
Reviews ¹ are required by: Cabinet Head of agency GOPM Personnel Cabinet - Secretary Personnel Cabinet --Employee Management Personnel Cabinet --Classification	Y Y Y Y Y	Y Y Y Y Y	7300-Policy Advisor 7430-Secretary 6464 -Personnel Cabinet 564-5300 -Personnel Cabinet
Documents are created as necessary: Personnel Actions Labor distribution numbers Account numbers	Y ² Y ³ Y	Y ² Y ³ Y ⁴	6873 - Personnel Cabinet 6464 - Personnel Cabinet 7750--Division of Accounts
File copies as follows: Finance Accounts GOPM Personnel Cabinet Legislative Research Comm. Secretary of State	Y Y Y Y Y	Y Y Y Y N	7750 – Division of Accounts

¹Approvals by the Executive Branch, per se, are not required for agencies headed by constitutional officers (KRS 12.028); as a practical matter, however, central computer/administrative systems require some consideration when contemplating changes of this nature. Consequently, reviews in that regard are necessary.

²If only a title change, system changes can be made without P-1 generation.

³Required only if new accounts are established or old ones deleted.

⁴Required only if accounting-type reporting is to be below division level.



1. What is the agency/department name and cabinet/department number to which this reorganization applies?

99-789; Dept. of
Telescopic Oversight

2. What is the requested effective date of the order?

June 16, 2008

The effective date of the personnel or position action processing must be the same as the effective date of the order. To save staff time, personnel/position action processing should be done on the 16th of the month.
3. Please provide the name and phone number of the contact person for this reorganization.

Nyota Uhura

564-5555

4. Will the division, branch, section, or unit affected by this order be moving to or from a different department or cabinet (i.e., changing appointing authorities)? If yes, then you must complete the executive order process instead of the administrative order process.

YES NO
5. Cite any new laws (in addition to KRS 12.028), regulations, current statutes that require modification. Please attach a copy of the law or regulation. If any statutes require modification, an executive order must be processed.

N/A

6. Will any new cabinet/department numbers result from this executive order? (If yes, contact the Personnel Cabinet, Division of Employee Management for available organization numbers (502) 564-6464.)

YES NO



7. How many total positions will be involved in the reorganization?

16

You must complete the “Position From-To List” accounting for each affected position number.

“Position From-To”
attached

If more than **25 positions** are involved, the Personnel Cabinet will produce a list of P-1s to be automatically generated from the submitted “Position From-To List”. You will have an opportunity to review and make corrections before personnel actions (P-1s) are automatically generated.

YES NO

If fewer than **25 positions** are involved you are required to electronically submit P-1s.

NOTE: For detailed instructions on preparing personnel actions, please review “Personnel Actions Resulting From Reorganizations.”

8. List the number of employees for whom there may (unless the employee agrees) have to be an involuntary transfer or involuntary demotion because of the reorganization:

0

List the number of employees for whom there may have to be a reclassification or reallocation as a result of the reorganization.

0



9. Are there any organizational units being established? YES NO
If yes, will any additional positions outside your current authorized cap be required? YES NO

If additional positions are required, position establishment actions will have to be electronically submitted to the Personnel Cabinet separately for review, after the reorganization is finally approved and organizational numbers are entered into the master organizational database.

Indicate the number of additional supervisors/management positions that will be required by the reorganization:

1

Indicate the number of other additional positions that will be required by the reorganization:

0

The nature of action code(s) to use on the personnel action for a reorganization process is E41—Re-org per Executive Order, E42--Re-org per Administrative Order, or E43--Re-org per Legislation.

10. Are there any organizational units being abolished? YES NO
If yes, are there any affected employees who will not be moved to a new unit? YES NO

If yes, KRS 18A.113, 1131, 1132 relating to layoff must be followed. Please provide all necessary information relating to any such layoff. Layoff plans may be submitted along with or separate from the order but must be approved by the Secretary of Personnel prior to approval of the order.



11. You must supply a "Structural From-To List" showing only affected organizational numbers to be entered into the master organizational database.

"Structural Fr-To" attached
 YES NO

Codes to be used on this form are: E (Establish), A (Abolish), R (Rename) and must be consistent with language used in the Order.

12. Attach a reorganization plan, current and proposed organizational charts.

Reorganization Plan attached
 YES NO
Current Org Chart attached
 YES NO
Proposed Org Chart attached
 YES NO

13 Will the payrolls affected be:
P-1 Payrolls? (payrolls certified)
Non P-1 Payrolls? (no payroll certification)

YES NO
YES NO

14. Will any changes in labor distribution numbers be required?

YES NO

If yes, how many positions will be involved?

N/A

If more than 25 will be involved, the changes will be generated via a "From-To" payroll distribution list provided by the Personnel Cabinet.

YES NA --Less than 25



- 15 Are there any appropriation or allotment budget changes required due to this reorganization? YES NO
- If yes, you must include a Budget From-To List (Crosswalk).
-
- 16 Are any new appropriation, allotment, or function codes being established in the statewide accounting system? YES NO
- If yes, you must include a Chart of Accounts From-To List (Crosswalk).
- 17 Will there be a need for funds to be moved to a different agency? (Note: KRS 12.028(7) states that "funds transferred due to reorganization shall be maintained in separately designated accounts. Any excess funds resulting from a reorganization shall lapse to the general fund surplus account.") YES NO
- 18 Will there be an increase or decrease in any funding requirements as a result of this reorganization? YES NO
- If yes, state the change: N/A
-
- 19 If additional cap positions will be required, state the GOPM Policy Advisor or other person you worked with in adjusting the cap for your agency. N/A
-



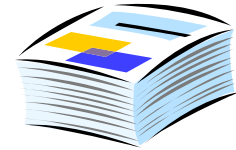
Copy Distribution:	Approval Required for this order?	Approval	Date
1. Governor's Office for Policy & Management	X		
2. Personnel--Classification	X		
3. Personnel--Personnel Administration, Commissioner	X		
4. Personnel--Secretary	X		



Reorganization Packet / Checklist of Contents		
In order for the Personnel Cabinet to ensure that your complete reorganization packet has been received and stored, please mark the items that are being included.		
Document Description		X
Letter	Cover	✓
	Other	
Orders	Executive Order (EO)	✓
	EO Summary/Reorg Plan	✓
	Administrative Order (AO)	✓
	AO Summary/Reorg Plan	✓
Charts	Current Org Structure	✓
	Proposed Org Structure	✓
Forms	Structural From-To	✓
	Position From-To (Crosswalk)	✓
	Chart of Accounts From-To	✓
	Budget From-To	✓
Misc		

Structural From-To Crosswalk

Reorganization Packet



- Current name and 13-digit organizational structure number of each entity affected by the reorganization
- Proposed organizational structure being established by the reorganization and **new** 13-digit structure number
- Action taken by the reorganization
 - Establish (E)
 - Abolish (A)
 - Rename (R)
- KHRIS has a 38 character limitation for organizational titles
- Contact the Personnel Cabinet, Division for Employee Management at (502) 564-6464 for assistance

“STRUCTURAL FROM-TO LIST” (CROSSWALK)

EXEC ORDER: _____
 ADMIN ORDER: _____
 EFFECTIVE DATE: _____

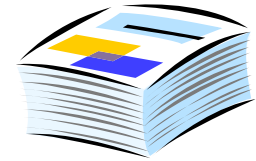
Listing of Organization Numbers ONLY
 (i.e., Cabinet, Department, Division, Branch, Section, Unit)

FOR THE REORGANIZATION OF: Cabinet: Cabinet of Galaxies Department: Department of Telescopic Oversight

Action A or R*	Current Organization Number	Current Organization Title (specific area only)	Action (E)*	Proposed Organization Number	Proposed Organization Title (specific area only)	Number of Positions to be:		
						Reclassified Post Reorg	Reorg'd To or Estab.	Reorg'd From or Abol.
R	99-789-00-00-00-00	Department of Telescopic Oversight			Department of Universe Services			
			E	99-789-03-00-00-00	Division of Asteroids		2	
			E	99-789-03-01-00-00	Orbital Studies Branch		6	
			E	99-789-03-02-00-00	Meteor Branch		8	
A	99-789-01-03-00-00	Minor Planets Branch						7
A	99-789-01-04-00-00	Space Matter Branch						9
*A= Abolish, R= Rename								
E= Establish								
TOTAL # POSITIONS:							16	16

Position From-To Crosswalk

Reorganization Packet



- Lists all positions affected by the reorganization
 - Vacant
 - Filled (list employee name)
- Current 16-digit position number
- Title of position
- New 16-digit position number
- Mike Rice, Personnel Cabinet, Processing and Records Branch (502) 564-6672

EXEC ORDER: _____
 ADMIN ORDER: _____
 EFFECTIVE DATE: _____

“POSITION FROM-TO LIST” (CROSSWALK)

Listing of Organization Numbers ONLY
 (i.e., Cabinet, Department, Division, Branch, Section, Unit)

FOR THE REORGANIZATION OF: Cabinet: Cabinet of Galaxies Department: Department of Telescopic Oversight

Current Position Number (16 digits)	Name	Position Title	New Position Number (16 digits)
99-789-01-03-00-00-004	Hikaru Sulu	Captain Practitioner	99-789-03-00-00-00-002
99-789-01-04-00-00-002	William T. Riker	Captain Associate	99-789-03-00-00-00-003
99-789-01-03-00-00-001	Spock	Captain Manager	99-789-03-01-00-00-001
99-789-01-03-00-00-002	Leonard McCoy	Commander Physician	99-789-03-01-00-00-002
99-789-01-03-00-00-003	Nyota Uhura	Administrative Commander	99-789-03-01-00-00-003
99-789-01-03-00-00-007	Montgomery Scott	Commander II	99-789-03-01-00-00-004
99-789-01-03-00-00-010	Christine Chapel	Lt. Commander III	99-789-03-01-00-00-005
99-789-01-03-00-00-011	Pavel Chekov	Lt. Commander II	99-789-03-01-00-00-006
99-789-01-04-00-00-001	Jean-Luc Picard	Captain Manager	99-789-03-02-00-00-001
99-789-01-04-00-00-003	Guinan	Administrative Commander	99-789-03-02-00-00-002
99-789-01-04-00-00-004	Beverly Crusher	Commander II	99-789-03-00-00-00-003
99-789-01-04-00-00-006	Deanna Troi	Commander III	99-789-03-00-00-00-004
99-789-01-04-00-00-007	Data	Lt. Commander I	99-789-03-00-00-00-005
99-789-01-04-00-00-008	Geordi LaForge	Lt. Commander III	99-789-03-00-00-00-006
99-789-01-04-00-00-009	Vacant	Lt. Commander II	99-789-03-00-00-00-007
99-789-01-04-00-00-012	Tasha Yar	Lt. Commander II	99-789-03-00-00-00-008

TOTAL NUMBER OF POSITIONS AFFECTED BY REORG: # 16

Budget From-To Crosswalk

Reorganization Packet

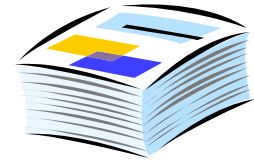
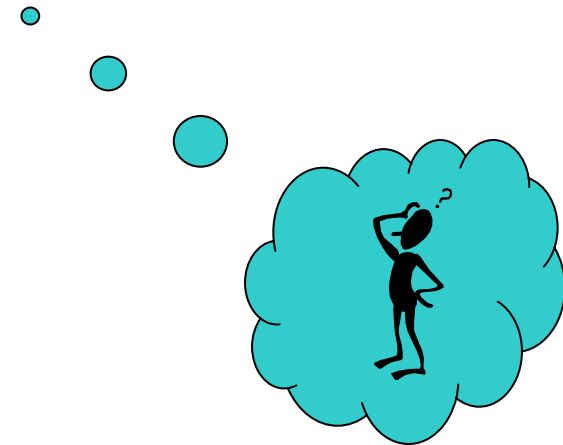


Chart of Accounts From-To Crosswalk

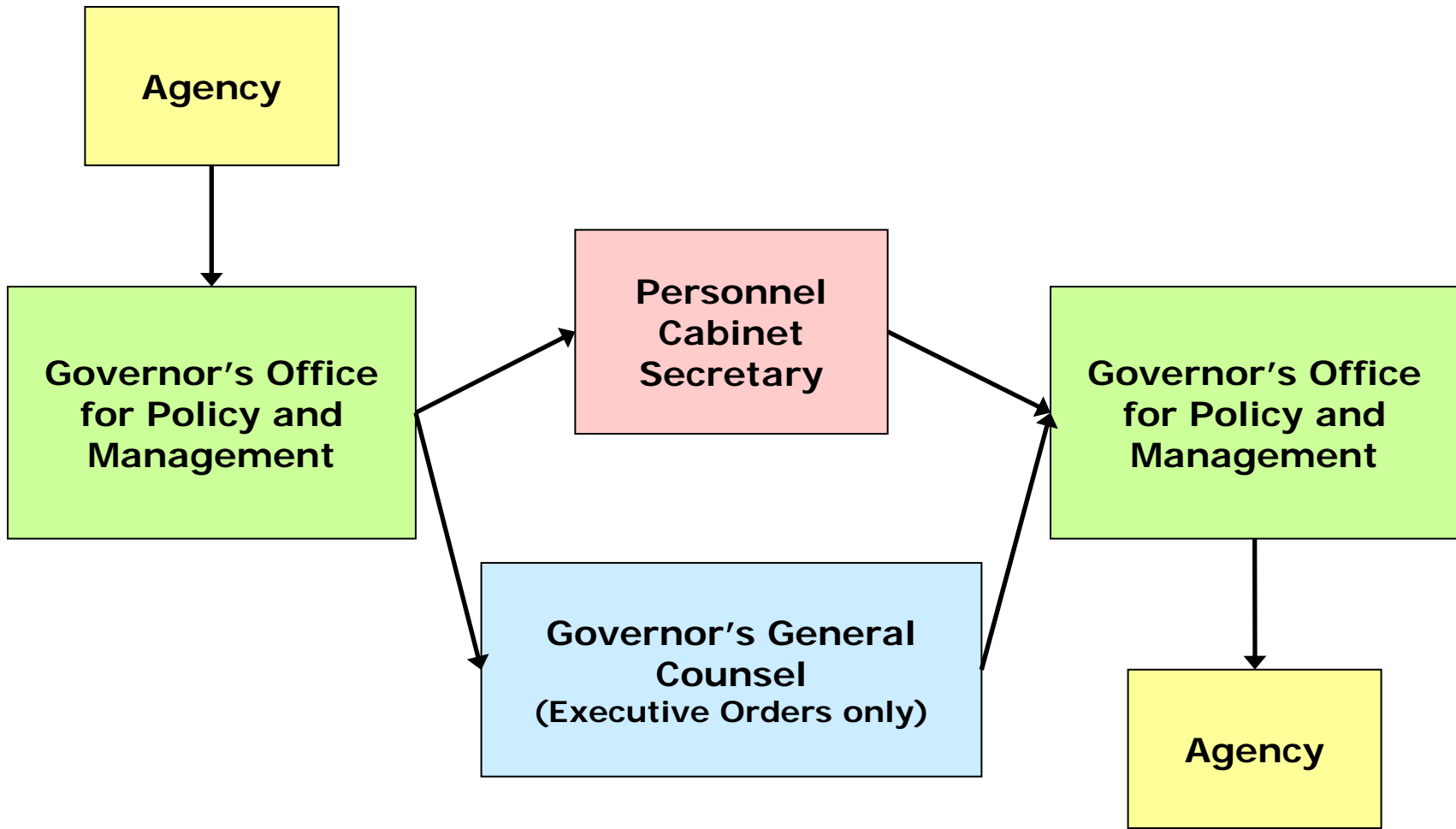
Reorganization Packet



Governor's Office for Policy and Management

Process and Timelines







Internal Order Flow and Approval Process

- Executive Order (EO) and Administrative Order (AO) related to reorganization are sent to OSBD/GOPM to the attention of Larissa Watson
- Following initial review by Larissa, the reorganization packet is sent to the appropriate GOPM policy advisor and to the Personnel Cabinet (PC) for review
- Corrections, revisions, document changes noted during review by both GOPM and PC are sent to agency through Larissa
- When corrected copies have been reviewed and approved by GOPM and PC, the EO and Reorganization Plan are forwarded to Governor's General Council by GOPM for formatting, Governor's signature, and assignment of EO number



Quick Reference on Executive and Administrative Orders Related to Reorganization

- Refer to Chapter 7 of the Procedure Manual at <http://personnel.ky.gov/info/persinfo/persmanl.htm> for information relating to the procedure and process to submit a request for reorganization
- Executive Order – submit 60 days prior to effective date
- Administrative Order – submit 30 days prior to effective date
- Submit both an original hardcopy and electronic copy of the reorganization packet to: Office of the State Budget Director/Governor's Office for Policy and Management (OSBD/GOPM), Room 284, Capitol Annex, Attention: Larissa Watson; email electronic copies to Larissa.Watson@ky.gov - (502) 564-7300.
- Use the Reorganization Packet ***checklist***



Personnel Actions

- Positions assigned a new position number will be moved with current classification and position description. Do not change any titles until the position has moved from the old organization to the new.
- If there is a permanent and material change in the duties and responsibilities of the position is moved, submit a P-1 and revised position description based on new duties within 2 pay periods after the effective date of the reorganization.

Avoid P-1 and Payroll Problems

- Communicate the effective date to agency P-1 processing staff before the effective date of the reorganization.
- Beware of dates. Actions submitted with a date that conflicts with the reorganization may result in:
 - ERRORS
 - Delays in processing actions
 - Employees without paychecks
- Do not process the actions that result from the reorganization (promotions, reclassifications, demotions) with the same effective date as the reorganization.





Avoid P-1 and Payroll Problems

- AVOID backdated actions on positions that were reorganized. The position no longer exists!!
- Be careful of position numbers for requisitions requested prior to the reorganization.
- Double & triple check reorganization position numbers to ensure an action is submitted for every position involved.
- AVOID duplicating position numbers.
- Agencies using shift differentials.



Classification and Compensation Branch – (502) 564-5300

Jim Lambert, Branch Manager – 564-6832

Terry Sullivan – 564-6859

For questions relating to classification:

Peggy Brady – 564-6819

Transportation Cabinet
Boards and Commissions

Carla Gray – 564-6825

Economic Development
Education Cabinet
Governor's Office for Local Development
Department of Veteran's Affairs
Department for Military Affairs
KY Higher Education Assistance Authority

Dawn Moreland – 564-6851

Justice and Public Safety Cabinet

Phyllis Harris – 564-6826

Health and Family Services
Finance and Administration
Commonwealth's Office of Technology
KY Retirement System

Vickie Hatchel – 564-6831

Commerce Cabinet
Environmental & Public Protection
Office of the Attorney General
Auditor of Public Accounts
Secretary of State's Office
Treasurer's Office

For questions relating to compensation:

Vickie Hatchel – 564-6831

Mark Thompson – 564-6865

Questions and Answers

<http://personnel.ky.gov/>

