



Department of Energy **Functional Accountability** ***Corporate Implementation Plan***

Introduction:

In an effort to improve the financial, human capital, information technology, legal, procurement and public affairs functions in the Department of Energy (DOE), the Secretary announced a functional accountability initiative intended to give heads of these areas the proper oversight and accountability for their respective areas throughout the Department. To execute the necessary changes, a Functional Accountability Working Group composed of the six functional heads within DOE was formed. The members of the Working Group are the Chief Financial Officer, the Chief Information Officer, the General Counsel, the Senior Procurement Officers, the Director of the Office of Public Affairs, and the Chief Human Capital Officer. The Functional Accountability Working Group also included representation from the Offices of the Secretary, all Under Secretaries, Field Offices, and Power Marketing Administrations who participated during Working Group meetings.

Successful integration of the Secretary's Functional Accountability initiative into the day-to-day management of DOE will require that functional heads and applicable Principal Secretarial Officers (PSO), Field Managers and other line management officials continue to advocate and coordinate functional accountability activities in a systematic and integrated way.

Each Functional Head has determined who is within their functional group by position and current incumbent for each organization. (See attached list)

Corporate Implementation of the Seven (7) Line Authorities.

The following is the corporate approach; however, Functional Heads may negotiate exceptions to this corporate plan with applicable PSOs, Field Sites, etc., that must be documented in their Functional Area Implementation Plans in accordance with the Secretary's Memorandum dated, May 23, 2006.

Line authorities 1 through 5 will apply to the positions/employees on the attached list for each functional area. Consistent with the Secretary's May 23, 2006 memorandum, the ability of the functional heads to exercise line authorities 1 through 5 will apply only to the highest ranking functional official in a field office or Headquarters office who is not already an employee of the functional head's organization or program office. Line authorities 6 and 7 will apply to all of the employees in the functional organization in a

field or headquarters office who are not already employees of the functional head's organization or program office.

Concurrence will be assumed for all actions if no response is received within timeframes described below.

1) Concurrence with existing management on the establishment of positions, including grade level, appointment type and scope of duties.

This authority will be implemented by obtaining the functional head's concurrence on actions that establish and/or affect appointment type, grade level, and/or scope of duties for the identified accountable position. The package submitted to the functional head must include a draft of the vacancy announcement and a description of how the position will be advertised and how long it will be open, as well as a description of the process that will be used to recruit for, rank, interview and select the successful candidate. Concurrences on position establishment should be on position description coversheets. Functional heads will have 5 working days from receipt of a complete package to concur, non-concur, or concur with comments back to the requesting office. Any resulting differences shall be resolved by these management officials within 5 working days. The position cannot be established prior to this process. The Office of Human Capital Management will institute procedures for servicing personnel offices to verify that concurrence of the functional head is obtained prior to establishment. Effective immediately, all actions coming to the Executive Resources Board will follow this process.

2) Concurrence in the selection of new hires.

This authority will be implemented, first, by obtaining the functional head's concurrence on the text of the job announcement (including, in the case of an SES position, the technical qualifications set forth in the announcement). Second, by obtaining the functional head's signature on the selection certificate. The selection package submitted to the functional head must include a copy of the selectee's application. Functional heads will have 5 working days from receipt of a complete package to concur, non-concur or concur with comments back to the requesting office. Any resulting differences shall be resolved by these management officials within 5 working days. The selection cannot be effective prior to this process. The Office of Human Capital Management will institute procedures for servicing personnel offices to verify that concurrence of the functional head is obtained prior to a formal offer of employment being made. Effective immediately, all actions coming to the Executive Resources Board will follow this process.

3) Concurrence on compensation, performance recognition, and retention, recruitment and relocation matters.

This authority will be implemented by obtaining the functional head's signature on the SF-52. The package submitted to the functional head must include a statement

explaining the need for the action. Functional heads will have 5 working days from receipt of a complete package to concur, non-concur, or concur with comments back to the requesting office. Any resulting differences shall be resolved by these management officials within 5 working days. The personnel action cannot be processed prior to this process. The Office of Human Capital Management will institute procedures for servicing personnel offices to verify that concurrence of the functional head is obtained prior to processing. Effective immediately, all actions coming to the Executive Resources Board will follow this process.

- 4) Active participation in performance management, including the development of performance standards, concurrence on performance ratings of record, and consultation and coordination on disciplinary actions.

For the FY 2006 performance cycle, line management will provide a copy of the relevant performance plans to the functional heads, and informally consult with the appropriate functional heads prior to finalizing the performance rating.

Beginning in the FY 2007 performance cycle, all draft performance standards will be submitted by appropriate rating officials to the functional head. The functional head will submit any comments within 10 working days. The functional head will be informally consulted by the rating official prior to the issuance of any mid-cycle reviews. At the end of the rating period the rating official will obtain the concurrence of the functional head before the performance rating is submitted to the reviewing official. The functional head should be given a minimum of 5 working days to review the proposed rating. In the event that the functional head and line management have differences regarding the performance rating: (1) for members of the SES, the divergent ratings will both be documented on the appraisal form, discussed with the SES employee, and presented to the Performance Review Board, with an explanation of the disagreement, (2) for all other employees, any resulting differences shall be resolved by these management officials within 5 working days. The Office of Human Capital Management will institute procedures to carry out this process and amend position descriptions, as needed.

With regard to disciplinary actions, the functional head should be advised as early as practicable in the process and be given the opportunity to fully consult on the appropriate level of discipline.

- 5) Actively participate in employee development, including the ability to require that incumbents have certain specified core competencies and the ability to require certain training.

Functional heads do not need to be consulted on training initiated by line management. Any requirements made by the functional head must take into account budgetary constraints and workload.

- 6) Concurrence on reorganizations and requests for workforce shaping authorities such as the Voluntary Separation Incentive Program, Voluntary Early Retirement Authority, and reduction in force impacting or affecting the function.

Any proposed reorganization or workforce shaping authority impacting or affecting the function must be submitted for the concurrence of the functional head. Functional heads will have 10 working days from receipt of a complete package to concur, non-concur, or concur with comments back to the requesting office. Any resulting differences shall be resolved by these management officials within 5 working days. The Office of Human Capital Management will institute procedures to verify that concurrence of the functional head is obtained prior to processing.

- 7) Actively participate, through the Corporate Program Review process, with respect to budgets for the respective functional activities.

The process for exercising this Line Authority is currently being developed by the CFO, in consultation with the functional heads, for corporate use beginning with the FY2009 budget.

Corporate Operating Principles:

The successful implementation and day-to-day management of a fully integrated functional accountability approach to the management of the Department of Energy is dependent upon effective and cooperative participation by functional heads, Principal Secretarial Officers (PSO) and field office managers. Accordingly all of these management officials will:

- work together to implement an effective approach to functional accountability that improves our ability to accomplish the missions of the Department
- make every effort to be responsive and timely to requests for input and concurrence