

Approved: 11-23-2016

SUBJECT: DOE ROLES AND RESPONSIBILITIES – NATIONAL LABORATORIES

PURPOSE

This Policy provides clarification regarding roles and responsibilities at the Department of Energy (DOE), particularly as they relate to the DOE National Laboratories. The Policy promotes clarity and consistency in roles and responsibilities among Departmental offices and with the laboratories, and assures that direction to Management and Operating (M&O) contract Partners¹ follows appropriate protocols. Each Under Secretary and Head of Departmental Element should review this Policy to ensure that it is reflected in the policies and operations of each office, and should consider training or other engagement to help socialize this Policy.

POLICY

1. “Line Management” refers to the unbroken chain of command from the Secretary, through the applicable Under Secretary, Program Office², Site/Field Office Manager, to the M&O Partner. Line managers make integrated risk decisions on behalf of the Department.
2. As stewards of the Laboratories, the Program Offices have enterprise-wide responsibility to maintain the enduring scientific vitality of the Laboratories, and are accountable for mission success. The Program Offices/Program Managers provide funding and programmatic guidance.
3. Functional Offices³ propose policy and guidance, provide funding (in some cases), and provide assistance in implementing policy and guidance in the field; corrective actions, if

¹ For the purpose of this Policy, the M&O contractors are referred to as “Partners.”

² This Policy addresses DOE interactions with the sixteen Government-Owned Contractor-Operated (GOCO) DOE National Laboratories. For the purpose of this Policy, “Program Offices” include those offices that have primary stewardship and responsibility for a National Laboratory. This includes SC (10 laboratories); NNSA (3 laboratories); EM (1 laboratory); NE (1 laboratory); and EERE (1 laboratory). In addition, FE is the DOE steward for NETL. These principles are not intended to apply in their entirety to NETL, which is a Government-Owned Government-Operated laboratory. NETL and FE should work to develop applicable principles. NNSA should adapt this Policy as necessary to reflect its structure as both an Under Secretary and a Program Office. Other DOE offices that do not have primary stewardship and responsibility for a National Laboratory are not included as “Program Offices” for the purpose of this Policy.

³ For the purpose of this Policy, “Functional Offices” are those offices that do not have ownership of a National Laboratory, but instead provide support. These offices include: Environment, Health, Safety & Security; Project Management Oversight and Assessments; Office of Public Affairs; Office of General Counsel; Office of Economic Impact and Diversity; Office of the Chief Information Officer; Office of Management; Office of the Chief Financial Officer; Human Capital; Office of Congressional and Intergovernmental Affairs; and Office of International Affairs.

required, are determined by Line Management. Functional managers are expected to work with the network of subject matter experts (SMEs) across the DOE complex (including coordination with National Laboratory CxO⁴ groups, federal working groups, and federal counterparts in the line) to efficiently address operational actions, and to keep the Program Office (including the Site/Field Office Managers and Contracting Officers) informed and involved.

4. Being closest to the work, Site/Field Office Managers integrate and balance contract requirements and risk (safety, security, mission, etc.) on behalf of the Program Office, Under Secretary, and the Secretary. Contracting Officers (COs) report to Site/Field Office Managers and authorize funding and work scope based on input from SMEs who may be located in Site/Field Offices or at DOE Headquarters.
5. Formal Federal direction to the M&O Partners comes from COs or from authorized contracting officer representatives (CORs) that have been designated in writing, indicating the limits of their role and authority. However, program and functional managers are expected to communicate and collaborate informally and routinely with M&O Partners to ensure the most efficient, effective, and safe execution of mission activities, keeping Program Offices and Site/Field Offices informed and involved.⁵
6. M&O Partners are responsible for meeting the mission and integrating programmatic efforts with safety, security, and quality requirements. In collaboration with their Site/Field Office and other Federal oversight, M&O Partners balance DOE programmatic and Strategic Partnership Projects execution against risks or concerns associated with operations and cross-cutting mission functions.
7. The Office of Enterprise Assessments (EA) conducts independent assessments on behalf of the Secretary. Any corrective actions, if required, are determined by Line Management.
8. Independent entities conduct assessments on behalf of Congress or others. Any corrective actions, if required, are determined by Line Management.

The Office of the Secretary is the Office of Primary Interest for this Policy. However, for questions or comments concerning this Policy, please contact the Office of Management at 202-287-5641.

BY ORDER OF THE SECRETARY OF ENERGY:



Elizabeth Sherwood-Randall
Deputy Secretary

⁴ National Lab CxO (Chief Officer) groups include: Chief Operating Officers, Chief Research Officers, Chief Information Officers, Chief Financial Officers, General Counsels, Chief Communications Officers, Chief Human Resource Officers, Environmental Safety & Health Officers, and Technology Transfer group.

⁵ For NNSA, these interactions shall be consistent with the NNSA Act.