

DOE 3510.1A
6-23-92

**THIS PAGE MUST BE KEPT WITH DOE 3510.1A, POSITION
MANAGEMENT.**

**DOE 3510.1A, POSITION MANAGEMENT, HAS REVISED DOE
3510.1 TO REFLECT ONLY ORGANIZATIONAL TITLE AND ROUTING
SYMBOL EDITORIAL REVISIONS REQUIRED BY NOTICES IN THE
SEN-6 SERIES. NO SUBSTANTIVE CHANGES HAVE BEEN MADE
AT THIS TIME. HOWEVER, THIS ORDER WILL UNDERGO
SUBSTANTIVE CHANGES IN THE NEAR FUTURE. IF YOU HAVE
ANY QUESTIONS ABOUT PROVISIONS OF THE ORDER, PLEASE
CONSULT APPROPRIATE STAFF MEMBERS IN THE OFFICE
OF PERSONNEL. DUE TO THE NUMBER OF PAGES AFFECTED BY
THE REVISIONS, THE ORDER HAS BEEN ISSUED AS A REVISION.**

U.S. Department of Energy
Washington, D.C.

ORDER

DOE 3510.1A

6-23-92

SUBJECT: POSITION MANAGEMENT

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1. PURPOSE. To prescribe the policies, responsibilities, and procedures for position management within the Department of Energy (DOE).
 2. CANCELLATION. DOE 3510.1, POSITION MANAGEMENT, of 8-8-85.
 3. REFERENCES.
 - a. Federal Personnel Manual Chapter 312, "Position Management," which provides criteria essential to efficient and economic planning, establishment, utilization, and cancellation of positions.
 - b. Office of Management and Budget Circular No. A-64 (Revised), "Position Management Systems and Employment Ceilings, of 7-30-80, which establishes criteria for effective position management systems and discusses employment ceilings.
 - c. GPO 913-702, Position Management, A Guide For Managers And Supervisors, of 1-78, which describes techniques supervisors and managers may apply to increase position management effectiveness. (Available in personnel offices.)
 - d. DOE 1100.6A, DEPARTMENTAL ORGANIZATION CONTROL SYSTEM, of 6-8-92, which establishes procedures for approval of organization changes within the DOE.
 - e. DOE 3511.1A, POSITION CLASSIFICATION, of 10-1-84, which provides guidance, instructions, and responsibilities for classifying positions under the General Schedule and the Federal Wage System.
 4. DEFINITIONS.
 - a. Position Classification. The process of analyzing and categorizing jobs by occupational groups, series, class, and grade according to like duties, responsibilities, and qualification requirements.
 - b. Position Management. The process of designing positions to combine logical and consistent duties and responsibilities into effective, efficient, and productive organizations to accomplish agency mission.

DISTRIBUTION:

All Departmental Elements

INITIATED BY:

Office of Personnel

- c. Classification Maintenance Review. A review of positions on an annual basis to determine whether the positions are still needed and, if so, whether the classification and position description are correct.
 - d. Organization Review. A review of an organization or major portion thereof which analyzes the organization from the standpoint of efficiency, effectiveness, and economy of operations.
 - e. Fragmentation. A situation which results from the splitting of an organization into many small segments.
5. POLICY. The Department is committed to sound position management. Position management is carried out by managers and supervisors. It is DOE policy to provide support to managers and supervisors through controls on employment ceilings, improved organization and work structuring, accurate position classification, effective job design, effective manpower utilization, and annual classification and organization maintenance reviews.
6. RESPONSIBILITIES AND AUTHORITIES.
- a. Director of Administration and Human Resource Management has primary responsibility for Departmentwide position management, serves as the Department's Position Management Officer, and:
 - (1) Develops policies and procedures for position management.
 - (2) Advises the Secretary of Energy on position management, at least annually.
 - (3) Coordinates responsibilities of the various Administration and Human Resource Management staffs.
 - (4) Requires corrective action on position management activities found deficient through the evaluation process.
 - (5) Establishes reporting requirements for position management activity.
 - (6) Grants exceptions to requirements of this Order.
 - b. Heads of Departmental Elements are responsible for determining staffing needs in light of mission and functions, assuring that the objectives and requirements of position management are met within their organizations, and they:
 - (1) Assure that reporting requirements are met.
 - (2) Direct implementation and follow-up of corrective action needed as a result of the evaluation process.

- (3) Assure the integration and coordination of subordinate elements that are responsible for components of position management.
 - (4) Designate a key management official to serve as position management officer.
- c. Position Management Officers must be individuals who have or are delegated authority to:
 - (1) Review and recommend changes to organization structures.
 - (2) Monitor position structure, average grade, and other trends and, as necessary, recommend appropriate corrective action.
 - (3) Recommend to the organization head resolution of differences between managers and staff when the issue involves position management, e.g., fragmentation, unnecessary layering, special assistants, or deputies.
 - (4) Coordinate the conduct of organizational reviews.
- d. Director of Personnel develops and issues guidance for the conduct of sound position management, as it pertains to personnel management, and:
 - (1) Provides staff and technical assistance for effective position management.
 - (2) Evaluates personnel management aspects of Departmentwide position management and recommends corrective action where appropriate.
- e. Director of Organization, Resources and Facilities Management recommends approval or disapproval of organizational structures in accordance with DOE 1100.6A, and:
 - (1) Develops and issues guidance on manpower utilization, ceiling control work measurement and productivity management.
 - (2) Conducts and/or sponsors organizational reviews and manpower reviews throughout the DOE.
- f. Managers and Supervisors are responsible for the organization of work and the management of positions under their control. In carrying out these responsibilities, they:
 - (1) Continually monitor organization and position structures within their organization and recommend improvements where necessary.

- (2) Group duties and responsibilities into positions that are consistent with mission needs and promote efficiency in operations and effective employee utilization.
 - (3) Review all vacant positions with a view toward abolishing unnecessary positions and restructuring vacant positions where appropriate.
 - (4) Involve key subordinates in the effective planning and implementation of position management.
 - (5) Assure that employees understand what their duties and responsibilities are, how they relate to those of other employees, and to whom they are responsible for all phases of their work.
 - (6) Review the descriptions of positions within their organizations to ensure their adequacy and certify annually that positions are accurate and needed; or, submit appropriate changes to the servicing personnel office.
 - (7) Utilize the services provided by cognizant staff offices such as personnel or management analysis in the conduct of position management responsibilities.
- g. Personnel Offices are responsible for assuring that the personnel management aspects of position management are carried out in the organizations serviced. This responsibility includes:
- (1) Conducting classification reviews and participating in organization reviews consistent with requirements described in paragraph 7.
 - (2) Classifying positions on the basis of published standards and established classification principles and policies.
 - (3) Providing advice and assistance to managers and supervisors and the office's position management officer regarding position management matters.
7. CLASSIFICATION AND ORGANIZATION REVIEWS. All DOE personnel offices must review all positions in the organizations serviced within a 4-year period. Normally, this means that approximately 25 percent of positions in the organization will be reviewed each year. At least 15 percent of all positions in the organizations serviced must be desk audited on an annual basis. These percentages may be achieved through a combination of individual actions to establish new or revise existing positions, classification maintenance reviews, organization reviews, and occupational surveys described below.

a. Classification and Maintenance Reviews.

- (1) All DOE personnel offices must conduct an annual classification maintenance review of organizations serviced. The review is based upon the personnel offices' assessment of needs and on the annual certification of positions required of supervisors. A sampling of positions certified as being accurately described may also be audited. If, during the course of the survey, it is found that a position description certified to be accurate differs significantly from duties actually performed, the position must be redescribed and the appropriate title, series, and grade determined. Where a significant number of positions certified as correct are found to be incorrectly described, the personnel office should increase the survey as deemed appropriate.
- (2) The review also includes a desk audit of a significant number of positions at or above the full performance level, new positions that were classified on the basis of projected duties, positions classified in job series for which no published standards exist, positions classified on the basis of impact of the person on the job concept, and other positions whose classification appears questionable.
- (3) Occupational surveys, conducted for the purpose of implementing new standards, or any other indepth organizational or occupational survey where positions are actually audited may also be considered in meeting the 25 percent review and the 15 percent audit requirements. Position description reviews where duties and responsibilities are compared with criteria in standards and guides, but no audit is conducted, may also be considered in meeting the 25 percent review.

- b. Organization Reviews. Classification maintenance reviews involve a review and analysis of individual positions, but not necessarily how the individual positions form organizations which are cohesive, effective units. Thus, each position management officer is required to conduct an organization review of at least one major organizational element per year. While only one review of a major element is required per year, the overall objective should be to complete a review of the entire organization within a 5-year period. The organization review involves an analysis of the efficiency and effectiveness of the organization structure itself. The position management officer utilizes staff resources such as budget, personnel, management analysis, and planning in conducting organization reviews. The organization review should stress economy of operations and analyze the organization from the following standpoints:

- (1) Organizational structure and the numbers and levels of supervisory positions should be analyzed to determine whether the organization is unnecessarily split into a number of small segments which could be combined into larger, more cost effective units. While no specific prescribed rules exist for determining how many employees a supervisor can effectively supervise, as a general rule, a first level DOE supervisor should supervise a minimum of five employees. A second level supervisor should normally direct no less than three first level supervisors.
- (2) Utilization and deployment of staff resources should be examined in detail, with respect particularly to:
 - (a) Abolishing unnecessary officers, including full-time deputies, special assistants, and assistant-to positions.
 - (b) Improvement of supervisor-to-employee ratio.
 - (c) Improvement of professional-to-clerical ratio.
 - (d) Consolidation of field sites where appropriate.
 - (e) Consolidation of administrative support services.
 - (f) Use of third parties to provide services, either through support services contracts or use of A-76 conversions.
- (3) The workload should be reviewed to determine if there is sufficient work at the full performance level to fully occupy the number of employees classified at that level and in the career ladders leading to that level.
- (4) Position-to-position relationships should be analyzed to ensure that functions do not overlap, there is no duplication of effort, and responsibilities of positions are clearly defined.
- (5) The organization should be analyzed with a view toward minimizing the number of organizational levels. Emphasis should be placed on delegating and decentralizing authority to the lowest appropriate working level in the organization.
- (6) The organization should be reviewed from the standpoint of effective utilization of trainee, apprentice, entry level, developmental, and full performance positions. The mix of positions should be such that employees at lower levels are provided with reasonable opportunities to advance.

- (7) Information systems, work flow, and work station procedures should be examined, regarding how and where such systems are established and defined, where they may be absent or undefined, and how well such systematic guidance is utilized to accomplish program objectives.
8. PERFORMANCE APPRAISALS. Position management responsibility, where appropriate, should be considered in the overall appraisal of supervisory responsibility, during the performance appraisal process. This evaluation should consider improvements in efficiency, productivity or cost effectiveness, job structuring, reductions in supervisory/employee ratios, elimination of supervisory layers and reductions in organizational fragmentation. These evaluations should be considered in merit pay determinations, Senior Executive Service compensation decisions, appraisals for promotion, reassignment, and reward of supervisory and managerial employees.
9. REPORTING REQUIREMENTS. Heads of Departmental Elements shall submit to the Director of Administration and Human Resource Management, by 11-30 of each year, a narrative report which describes goals and objectives for the current fiscal year and accomplishments for the previous fiscal year. The report for the current fiscal year should include schedules for classification maintenance and organizational reviews and any planned occupational studies. The report on accomplishments should include a specific report and discussion of changes in average grade, ratio of supervisory to nonsupervisory positions, number of organization units established and abolished, and number of deputy, supervisory, special assistant/assistant-to positions established and abolished. The report may also include other major accomplishments in position management.

BY ORDER OF THE SECRETARY OF ENERGY:



DOLORIS L. ROZZI
Director of Administration
and Human Resource Management

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