Policy: Reporting Structure of Business Offices at SLAC

Background

The purpose of this policy is to serve as a written understanding regarding the fiduciary responsibilities of Business Managers at SLAC who may administratively report to a mission ALD. In the DOE funds control review report dated December 27, 2016 following DOE’s visit to SLAC to determine if funds control duties are properly segregated, they observed a reporting structure for “financial” staff that does not provide full segregation of funds control duties, because staff do not have adequate independence from the programs they support. In performing business functions, insuring robust adherence to financial policies and practices requires oversight of Business Managers by the Director BTS. Therefore, documenting a formal matrixed relationship of these Business Managers to BTS for oversight and performance evaluation supports an environment of strong fiduciary responsibility.

Historically at SLAC these positions reported to their respective ALDs because their position goes beyond financial duties and an alignment to the priorities of the DOE program management was desired. While these employees did not report to the SLAC CFO/Director BTS, the Director BTS provided input to the performance evaluations for these employees. This policy formalizes the responsibilities, accountabilities and matrixed reporting structure necessary to avoid potential organizational conflicts of interest and provides adequate formal accountability necessary for strong fiduciary responsibility.

Financial analysts supporting SLAC’s Directorates will continue to be deployed as BTS staff with a matrixed reporting relationship to the Business Manager they support.

Business and Technology Services Directorate Mission and Vision

Business and Technology Services’ vision is to be viewed as a strategic partner adding value to decision making through innovative operational concepts, professionalism, consistently sound business, financial, technology, systems and procurement practices, and efficiency of operations. BTS’s Mission is to provide exemplary business and technology services in support of SLAC’s mission through innovative business professionals, creative solutions and technology. We execute our mission through four primary support functions – financial, supply chain, computing, and deployed business services. These deployed business services provide strong customer service while ensuring strong fiduciary accountability.

The goals of Business & Technology Services are to provide effective and efficient controls of business processes and systems, align our capabilities to support the mission, improve customer satisfaction and service, and build on our organization to increase success, leveraging team dynamics.

Business Model

Business and Technology Services’ business model is based on having strong central business functions providing stewardship of our contractual requirements and best business practices and equally strong deployed services delivering the processes and systems developed centrally to the lab.
Role:

The Business Manager and their staff provide business expertise, analysis, guidance, support and leadership to Lab Management and staff in the areas of budget, procurement support, property management, and business operations in addition to areas beyond the scope of BTS. They are the point of contact for all internal/external audits and data calls related to the business operations and overall business administration of the Directorate. The entire office and their associated expenses are funded by the directorates to which they are assigned.

Responsibilities:

The following responsibilities and accountabilities are within the performance oversight of the Director of BTS:

- oversight of the business/financial operations of the Directorate relative to the DOE contract requirements and SLAC policies and procedures
- act as an integral member of the Business Services leadership team in meeting SLAC business related goals
- provide ongoing recommendations for business improvements, identify business risk issues and make recommendations for alternative solutions on issues such as resource limitations and constraints and other financial obstacles that might arise
- support the development of business plans, budgets and rates consistent with the strategy and program needs
- assist in the development and completion of budgets associated with proposals including the annual budget submission and Field Work Proposals (FWP) process and other proposal submittals such as grants, SPP agreements, etc.
- remain current on external budget environment as well as current funding situation to provide financial forecasts necessary for effective management and planning
• prepare and support overhead budgets and rates required to support the Directorate strategy and capabilities submitting such to the SLAC Budget Office consistent with issued guidance
• analyze, evaluate and report on financial & business status and provide recommendations to maximize resources
• support the implementation of SLAC business related policies as well as compliance with SLAC’s prime contract, DOE Orders, government regulations, Generally Accepted Accounting Principles (GAAP), and Cost Accounting Standards (CAS)
• maintain an understanding of current business processes and methodologies and work toward implementing efficiencies, and continuously improving current processes or systems
• support financial processing activities such as travel, invoice approval, etc.
• support the activities related to the procurement function and interact with SCM staff and others to insure compliance with applicable regulations and requirements
• Maintain flow of communication to the Director of BTS on business related matters of the Directorate including both internal and external business matters.

Authorities:

The Director of BTS grants authorities to the Business Manager to access business systems, approve business transactions, and make decisions related to the implementation of established business policies and procedures.

Accountabilities:

This policy establishes the following formal accountabilities:

• To the Mission ALD for overall performance against the positions R2A2’s
• To the Director BTS to maintain financial transactions in accordance with SLAC policies and our prime contract (also reflected in the Business Manager R2A2).

Performance management

As the supervisor of record, the Mission ALD is responsible for overall performance as well as those items identified in the R2A2’s for line managers of staff. The Director Business & Technology Services defines and evaluates performance against the core competencies and skill requirements for staff performing financial functions.

While final performance ranking and salary management is the responsibility of the Mission ALD, the ALD will establish the Director BTS as a matrixed manager in SLAC’s performance management system to enable direct and documented input by the Director Business & Technology Services for performance in financial areas, including peer group comparison. Failure of the Business Manager to meet expectations in financial areas will result in a loss of the authorities outlines above.

The Mission ALDs are responsible for goal setting with input from the Director Business & Technology Services.