



U.S. DEPARTMENT OF
ENERGY

**OFFICE OF PROCUREMENT &
ASSISTANCE MANAGEMENT
INHERENTLY GOVERNMENTAL
AND COMMERCIAL
ACTIVITIES (IGCA) INVENTORY
GUIDANCE**

2012

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Summary

The Department of Energy (DOE) has received the Office of Management and Budget's (OMB) 2012 inventory guidance¹ and this year's Inherently Governmental and Commercial Activity (IGCA) inventory data collection will be essentially unchanged from the previous year's, with a few caveats;

1. The Office of Federal Procurement Policy (OFPP) has recently issued OFPP Letter 11-01, *Performance of Inherently Governmental and Critical Functions*², which clarifies how to determine whether a function is inherently governmental, should help agencies identify more accurately those activities that may be performed only by Federal employees. Departmental Elements shall carefully review the guidance in Policy Letter 11-01, especially the definition of an inherently governmental function as provided in Section 3 and the guidelines for identifying inherently governmental functions in Section 5-1(a). Departmental Elements should then review their inventories, paying particular attention to the activities classified as commercial to ensure they do not include inherently governmental functions, and reclassify functions, if necessary, based on the results of such reviews.
2. Departmental Elements should continue to report "reason codes" with respect to their commercial activities. A complete list of reason codes and definitions can be found on page 5 of this Guidance. Departmental Elements are not required to submit separate justifications for reason code classifications, as has been required in the past. However, as shown in the table on page 5 of this Guidance, OMB has annotated reason codes affected by the continued statutory moratorium set forth in section 733 of the Consolidated Appropriations Act, 2012 (P.L. 112-74) on beginning or announcing a study or public-private competition regarding the conversion of contract performance of any function performed by Federal employees.
3. "Office Branch Code" is once again a required data collection category. Please ensure that all line entries have a corresponding Office Branch Code.

OMB requires the submission of the IGCA Inventory in a specified electronic format. As a result, an updated version of the collection tool used last year is provided along with this guidance. This data collection tool is somewhat different than the tool used by OMB. However, the data fields can be easily converted to the OMB tool and will be completed by OPAM.

Instructions and training related to the use of the data collection tool is available in the Collection Tool Training section of this guidance. Please refer to the Table of Contents.

¹ The OMB FAIR Act Guidance can be found at http://www.whitehouse.gov/omb/procurement_fair-default/

² The Policy Letter is published at 76 Fed. Reg. 56227 (September 12, 2011), with a technical correction at 77 Fed. Reg. 7609 (February 13, 2012). These Federal Register notices and related materials are on OMB's website at http://www.whitehouse.gov/omb/procurement_index_work_performance/.

Any questions regarding this guidance and the collection tool should be addressed to Jeff Davis by e-mail at: Jeff.Davis@hq.doe.gov. Additional references are also available in the References section of this guidance. Please refer to the Table of Contents.

Required Submission / Due Dates

Between April 1, 2012 and April 27, 2012

Submit a draft version of your Data Collection Tool. The Office of Procurement & Assistance Management (OPAM) will review and work with Departmental Elements to make any necessary changes.

By May 11, 2012 each Departmental Element is responsible for:

Updating and submitting a final Data Collection Tool with corrections as necessary based upon OPAM's review.

Guide to Inventory Submission

This document provides guidance for submission of the DOE IGCA Inventory. This inventory will be used to respond to various reporting requirements including, but not limited to, the Federal Activities Inventory Reform Act of 1998, Public Law 105-270 (FAIR Act) and the inventory of inherently governmental activities required by OMB.

OMB requires the submission of the IGCA Inventory in a specified electronic format. As a result, an Excel based data collection tool will be provided to each Departmental Element and constituent organizations. Instructions and training related to the use of the data collection tool is available in the Collection Tool Training section of this guidance.

DOE Function Codes

Function Code Taxonomy: Function Codes provide the coding structure for offices to account for all departmental activities performed in direct support of missions. Each function code includes an alphanumeric code, title, and definition describing the type of work performed. Function Code definitions are intended to be comprehensive and mutually exclusive. Additionally, each definition identifies meaningful exclusions. Many groupings of Function Codes include at least one miscellaneous “other” function that has an alphanumeric code ending in “99” (e.g., “H999 – Other Health Services”). These miscellaneous functions are used to code work that is not identified by other function codes on the list. The use of the miscellaneous codes is discouraged and should be utilized only as the last choice. A list of the Function Codes is provided in the data collection tool.

Coding Management Functions: Management functions performed at the headquarters level involve work that is significantly different than that performed at operations offices. OMB has developed separate codes and titles for each. Management Headquarters type work is defined as “overseeing, directing, and controlling subordinate organizations or units through: developing and issuing policies and providing policy guidance; reviewing and evaluating program performance; allocating and distributing resources; or conducting mid- and long-range planning, programming, and budgeting.” However, “Management Headquarters” functions do not include “all direct support (e.g., professional, technical, administrative, or logistical support) that is provided directly to a major DOE headquarters office and is essential to its operation.” Direct support is included as part of a “Management Headquarters” function only when the support is an inherent part of, and inextricably tied to, management headquarters type work as defined above. If the support is performed separately, it is coded with the support function code that most closely describes the type of support provided.

There are services and operations that have management elements (e.g., supervision, oversight, and control). Services and operations are sometimes performed by private sector contractors. In such cases, the administration and oversight of the contract (to include quality assurance and technical review of the services provided) are considered to be an inherent part of the management function.

Note: Coding is based on the type of work activity performed (e.g., personnel operations) and not based on where the work activity is performed (e.g., headquarters or field office).

Coding Rules for the IGCA Inventory

Position Title vs. FTE Function: Full time equivalents are grouped by function code to indicate the type of work activity performed. In some cases, this may not correspond to what position series and titles an FTE represents.

EXAMPLE: Although accountants are typically found in accounting functions and engineers in engineering functions, in some cases, a budget analyst may be working in an accounting function or a geologist in an engineering function. As a general rule, the function code selected for these FTEs should be based on the type of activity (i.e., accounting function) and not the type of position (i.e., budget analyst) associated with the FTE. In this case, the budget analyst would be coded as an accounting function and the geologist as engineering function.

NOTE: The definitions for the acquisition functions in the list provided with this guidance are not intended to reflect or align with the Department's definition for the "Acquisition Work Force" as addressed in DOE Order 361.1. The Department's definition for the "Acquisition Work Force" is based on organizations and occupational series. As explained above, DOE functions are based on the type of work performed regardless of its organization. They are not based on (or necessarily relate to) occupational series / occupational specialties.

Fractional FTEs: OMB allows for the reporting of fractional FTE; however, agencies shall **not report fractions smaller than one-quarter**. Part-time or seasonal employees should be accurately reported as fractional FTE. Splitting FTE into multiple function codes should only be done in cases where a single FTE performs two or three completely separate functions. For instance, nearly all positions have an administrative component; however, it is unnecessary to separate this from the rest of the position duties. An FTE should be assigned a single function code based on the predominant type of work performed.

Filled / Vacant Positions: FTEs ought to be reported whether the position is filled, vacant, on a non-reimbursable detail, or on extended leave. The IGCA inventory accounts for the type of work activity authorized to be performed — FTE authorizations — regardless of whether the position associated with the FTE is burdened or not (filled or vacant). FTEs are reported regardless of whether the incumbent of the position associated with the FTE is borrowed or diverted to perform other work; is on temporary or extended detail, leave, or training; or has full or part-time collateral duties.

Budgeted FTEs: The number of FTEs reported in each Departmental Element's inventory should reflect the number of budgeted FTEs the Departmental Element is assigned. Therefore, all budgeted FTEs should be included in Departmental Element inventories regardless of personnel status (i.e. Civil Service, Political Appointees, and Foreign Service).

Organizational Structures: The IGCA inventory is based on current processes, procedures, organizational structures, equipment, and workloads. Offices may not omit or add FTEs or code FTEs based on presumed improvements to organizational structures, equipment, technologies, work arrangements, processes, or procedures, except to the extent that doing so permits the office to report the FTE level (including vacancies) as set forth in the current fiscal year Budget.

Data Analysis: The definition for each function code describes the type of work performed. The functional definition does not reflect whether the function is inherently governmental or commercial in nature.

It is important to keep in mind that the inventory information will be reviewed by parties internal and external to DOE. Those parties may not be aware of the fact that management and organizational arrangements, geographic dispersion, span-of-control, and management relationships differ greatly among DOE offices. Also, they may not be aware of the degree to which DOE offices rely on inter / intra-governmental support and private sector services. In order to assess the type of activity or to question inherently governmental and commercial designations of FTEs, parties may make DOE-wide comparisons of functions, functional groups, functional categories, or organizational levels. By documenting the rationale behind your coding decisions, any questions resulting from the review and analysis of your inventory should be easier to answer.

Reason Codes

Codes	Description	Status Code*
A	The commercial activity is not appropriate for private sector performance pursuant to a written determination by the CSO.	Commercial
B	The commercial activity is suitable for a streamlined or standard competition. <i>Note: Section 733 of the Consolidated Appropriations Act, 2012 (P.L. 112-74) establishes a statutory moratorium on beginning or announcing a study or public-private competition regarding the conversion of contract performance of any function performed by federal employees.</i>	
C	The commercial activity is the subject of an in-progress streamlined or standard competition. <i>Note: Section 733 of the Consolidated Appropriations Act, 2012 (P.L. 112-74) establishes a statutory moratorium on beginning or announcing a study or public-private competition regarding the conversion of contract performance of any function performed by federal employees.</i>	
D	The commercial activity is performed by government personnel as the result of a standard or streamlined competition (or a cost comparison, streamlined cost comparison, or direct conversion) within the past five years.	
E	The commercial activity is pending an agency approved restructuring decision (e.g., closure, realignment).	
F	The commercial activity is performed by government personnel due to a statutory prohibition against private sector performance.	
I	Inherently Governmental	Inherently Governmental

* Status code will not be included in the FY 2012 FAIR Act inventory but is included in this table for reference to historical coding of FAIR Act inventories.

Reason Code I Definition

Definition: “Inherently governmental function,” as defined in section 5 of the Federal Activities Inventory Reform Act, Public Law 105–270, means a function that is so intimately related to the public interest as to require performance by Federal Government employees.³

a. The term includes functions that require either the exercise of discretion in applying Federal Government authority or the making of value judgments in making decisions for the Federal Government, including judgments relating to monetary transactions and entitlements. An inherently governmental function involves, among other things, the interpretation and execution of the laws of the United States so as —

(1) To bind the United States to take or not to take some action by contract, policy, regulation, authorization, order, or otherwise;

(2) To determine, protect, and advance United States economic, political, territorial, property, or other interests by military or diplomatic action, civil or criminal judicial proceedings, contract management, or otherwise;

(3) To significantly affect the life, liberty, or property of private persons;

(4) To commission, appoint, direct, or control officers or employees of the United States; or

(5) To exert ultimate control over the acquisition, use, or disposition of the property, real or personal, tangible or intangible, of the United States, including the collection, control, or disbursement of appropriations and other Federal funds.

b. The term does not normally include—

(1) Gathering information for or providing advice, opinions, recommendations, or ideas to Federal Government officials; or

(2) Any function that is primarily ministerial and internal in nature (such as building security, mail operations, operation of cafeterias, housekeeping, facilities operations and maintenance, warehouse operations, motor vehicle fleet management operations, or other routine electrical or mechanical services).

The OFPP Policy Letter 11-01 and the Federal Activities Inventory Reform Act of 1998 provide detailed information on coding functions as Inherently Governmental. Access these documents through the OMB’s website at

http://www.whitehouse.gov/omb/procurement_index_work_performance/, and
http://www.whitehouse.gov/omb/procurement_fair-default/.

³ For further assistance in determining whether an FTE is inherently governmental, review the informative reference guidance in the OFPP Policy Letter 11-01, Section 5-1.

Reason Code A Definition

Definition: Commercial Activity not appropriate for private sector performance pursuant to a written determination by the CSO. FTE coded Reason Code A serve a critical function, and assist the Department in maintaining control of its mission and operations.⁴

“Critical function” means a function that is necessary to the agency being able to effectively perform and maintain control of its mission and operations. Typically, critical functions are recurring and long-term in duration.

The OFPP Policy Letter 11-01 provides detailed information on coding functions as Critical Function. Access this document through the OMB’s website at http://www.whitehouse.gov/omb/procurement_index_work_performance/.

Reason Code B Definition

Definition: The commercial activity is suitable for a streamlined or standard competition. *Note: Section 733 of the Consolidated Appropriations Act, 2012 (P.L. 112-74) establishes a statutory moratorium on beginning or announcing a study or public-private competition regarding the conversion of contract performance of any function performed by federal employees.*

Reason Code B should be applied to any FTE performing a function or activity that is essential, but not inherently governmental. These activities may be performed by either federal employees or private sector contractors.

Reason Code C Definition

Definition: The commercial activity is the subject of an in-progress streamlined or standard competition. *Note: Section 733 of the Consolidated Appropriations Act, 2012 (P.L. 112-74) establishes a statutory moratorium on beginning or announcing a study or public-private competition regarding the conversion of contract performance of any function performed by federal employees.*

Reason Code D Definition

Definition: The Commercial Activity is performed by government personnel as the result of a standard or streamlined competition (or a cost comparison, streamlined cost comparison, direct conversion) within the past five years.

Reason Code E Definition

Definition: The Commercial Activity is pending an agency approved restructuring decision (e.g., closure, realignment).

DOE offices shall use Reason Code E for all FTEs performing activities in a function that has been deferred from a streamlined or standard competition pending the results of an approved force

⁴ For further assistance in determining whether an FTE is performing a critical function, review the informative reference guidance in the OFPP Policy Letter 11-01, Section 5-1.

restructuring decision. This code is limited to restructuring initiatives such as approved site closures, or functional realignment or consolidation actions that have been approved in writing.

Reason Code F Definition

Definition: The Commercial Activity performed by government personnel due to a statutory prohibition against private sector performance.

Collection Tool Training

The IGCA Collection Tool is an Excel based tool that allows program offices to collect and validate their inventory. The tool automatically filters and summarizes data so that program offices can submit detailed inventory reports. Please click on the link below to access the PowerPoint training available at our website:

[Collection Tool Training](#)

Data fields used in the collection tool:

There are a total of 25 data fields in the collection tool. Every line of data (row) must have every data field (column) completed. The tool has drop-down lists for several data fields – just click on the cell and select your option. If no drop-down list is available please input the corresponding data. Below is a list of the data fields and a description for each.

Agency and Bureau Code = Please refer to the list below.

019-05	National Nuclear Security Administration
019-10	Environmental and Other Defense Activities
019-20	Energy Programs
019-50	Power Marketing Administration
019-60	Departmental Administration

Organization Code = Identifies the Organization Code the FTE belongs to. Sub-organization codes are also included in this data field.

Organization	Code
Albuquerque (EM)	AL
Albuquerque NNSA	AL NNSA
BPA	BPA
CBFO (EM)	CBFO
Chicago (EM)	CHI
CHO	CHI
Civilian Radioactive Waste Management	RW
Congressional & Intergovernmental Affairs	CI
Consolidated Business Center (EM)	CBC
Economic Impact And Diversity	ED
EE	EE
Energy information Administration	EIA
Environmental Management	EM
Fossil Energy	FE
General Counsel	GC
Golden Field Office	GOLDEN
Health, Safety and Security	HS
Hearings And Appeals	HG
Idaho	ID
Idaho (EM)	ID

Organization	Code
Inspector General	IG
Intelligence & Counterintelligence	IN
Livermore	LL NNSA
National Nuclear Security Administration	NETL
Naval Petroleum Reserves, Co, WY	NPR-CO/WY
Naval Reactors	NR NNSA
NETL	NETL
Nevada (EM)	NV
Nevada NNSA	NV NNSA
Nuclear Energy	NE
Oak Ridge	OR
Oak Ridge (EM)	OR
Oak Ridge Y-12 Office	Y-12 NNSA
Oakland Operations Office (EM)	Oakland
Office of Electricity Delivery and Energy Reliability	OE
Office of Human Capital Management	HC
Office of Legacy Management	LM
Office of Management	MA
Office of Policy and International Affairs	PI
Office of River Protection (EM)	ORP
Office of the Chief Financial Officer	CF
Office of the Chief Information Officer	IM
Office Of The Secretary	S
Oak Ridge Office	OR
Oak Ridge Office	PW
Oak Ridge Office	SSO
Oak Ridge Office	TJSO
Pittsburgh Naval Reactors	PNR NNSA
Ports-Pad Project Office (EM)	AL
Ports-Pad Project Office (EM)	CBC
Public Affairs	PA
Richland (EM)	RL
Savannah River (EM)	SR
Savannah River NNSA	SR NNSA
Schenectady Naval Reactors	SNR NNSA
Science – HQ	OSTI
Science	SC
Southeastern Power Administration	SEPA
Southwestern Power Administration	SWPA
Strategic Petroleum Reserves Project Office	SPRO
Western Area Power Administration	WAPA

Departmental Element Code = Identifies the Departmental Element the organization belongs to (if applicable). Please refer to the list below.

Departmental Element	Code
Bonneville Power Administration	BPA
Civilian Radioactive Waste Management	RW
Congressional & Intergovernmental Affairs	CI
Economic Impact And Diversity	ED
Energy Efficiency and Renewable Energy	EE
Energy Information Administration	EIA
Environmental Management	EM
Fossil Energy	FE
General Counsel	GC
Health, Safety and Security	HS
Hearings And Appeals	HG
Inspector General	IG
Intelligence & Counterintelligence	IN
Nuclear Energy	NE
Office of Electricity Delivery and Energy Reliability	OE
Office of Human Capital Management	HC
Office of Legacy Management	LM
Office of Management	MA
Office of Policy and International Affairs	PI
Office of the Chief Financial Officer	CF
Office of the Chief Information Officer	IM
Public Affairs	PA
Science	SC
National Nuclear Security Agency	NNSA
Southeastern Power Administration	SEPA
Western Area Power Administration	WAPA
Southwestern Power Administration	SWPA
Office of the Secretary	S

Office Branch Code = Identifies the code associated with the FTE's office/branch/division.

Facility = Identifies the actual physical location where the FTE is located.

First Year on Inventory = Identifies the first year the FTE was reported.

State = Identifies the state where the FTE is located.

City = Identifies the city where the FTE is located.

Country = Identifies the country where the FTE is located.

Function Code = Identifies the Function Code the FTE represents. Please review the coding rules for the IGCA Inventory as described above.

Position Title = Identifies the current position title of the FTE. This may not correspond to the Function Code.

Pay Plan = Identifies the current pay plan of the FTE. This may not correspond to the Function Code.

Position Series = Identifies the current position series of the FTE. This may not correspond to the Function Code.

Position Grade = Identifies the current position grade of the FTE.

FTE = Identifies the number of FTEs reported for that specific entry. Grouping of FTEs is allowed as long as they share identical data fields (example: Function Code, Position Title, Plan, and Series).

Status = Identifies if the FTE is Inherently Governmental (I) or Commercial (C).

Reason Code = Identifies which reason code corresponds to the entry as described above.

Explanation = Identifies an explanation for a change between the previous and current year. The list below describes the available explanations:

Reason Code Change	If during this fiscal year the function has been classified with a different reason code please select this option. This could be the result of a reorganization or management decision.
Function Code Change	If during this fiscal year the function has been classified with a different function code please select this option. This could be the result of a reorganization or management decision.
No Change	If there has been no change please select this option.
More FTEs	If the function includes more FTEs please select this option.
Less FTEs	If the function includes less FTEs please select this option.
New Entry	If the function is new to your organization please select this option. Keep in mind that you must include the current year in the 'First year on Inventory' column. A new entry could be derived from a. If the new entry belonged to a different organization on the previous fiscal year, please coordinate with the respective organization so that the FTE is not accounted for twice.
Non-existing	If the function no longer exists within your organization please use this option. If the function was eliminated due to reorganization please select this option. If the function was inherited by a different organization please coordinate with the respective organization so that the FTE is not accounted for twice.
Other	If the change is not described by any of the above options please use this option.

Appendix A - References

References are available through our website, under the operating guidelines link.

<http://energy.gov/management/fair-act-inventory>

You could also use the links below:

The FAIR Act

http://www.whitehouse.gov/omb/procurement_fair-default/

OMB Circular No. A-76

http://www.whitehouse.gov/omb/circulars/a076/a76_incl_tech_correction.html

OMB Guidance

http://www.whitehouse.gov/omb/procurement_fair-default/