

DIRECTIVES CONTROL FORM - ORO O FINAL DIRECTIVE

PART A (To be completed by the Division of Primary Interest (DPI))

1. **NUMBER AND TITLE OF DIRECTIVE:** ORO O 410, Chapter I, WORK AUTHORIZATION SYSTEM

2. **PURPOSE OF TRANSMITTAL:** New Directive Revised Directive Page Change

3. **CONTRACTOR REQUIREMENTS:** Does directive contain requirements applicable to contractor(s)?

Check appropriate boxes:

No (all contractors)

Yes If yes, whom? LMES ORAU SURA LMER

Other contractors (list by type)

Contractors who are requested to perform work by an M&O contractor or a DOE Program Office.

4. **SUMMARY OF SIGNIFICANT PROVISIONS OR CHANGES:**

Incorporates Chapter I in the 410 Series (formerly ORIG 5700.7C).

5. CONTACT POINT: Alan Stokes	Planning and Budget Division, FM-72	576-8096
Name	Organization	Telephone

PART B (To be completed by the Directives Management Group (DMG)):

6. **FILING INSTRUCTIONS:**

<u>Remove</u>	<u>Dated</u>	<u>Insert</u>	<u>Dated</u>
ORIG 5700.7B (Except as described below)	12-19-92	ORO Control Form ORO O 410, Chapter 1	09-24-96 09-24-96

Attachments 2 and 3 to this Chapter were transmitted with ORIG 5700.7B, dated 12-19-92, as Appendix A and B. They are unchanged. Because of their length (7 pages) they were not printed again. Do not remove them. Please make a pen and ink change at the top of Page 1 of each Attachment to indicate that it is an Attachment to this ORO Chapter.

7. **APPROVED FOR DISTRIBUTION IN ACCORDANCE WITH THE OFFICIAL DIRECTIVES DISTRIBUTION LIST:**

<i>Original Signed By Jennifer H. Cusick</i>	09/24/1996
_____ Signature Management Analyst, AD-440	_____ Date

U.S. Department of Energy

Oak Ridge Operations

ORO O 410 Chapter I

DATE: 09-24-96

SUBJECT: WORK AUTHORIZATION SYSTEM

1. PURPOSE. This Chapter correlates to DOE O 412.2 (formerly DOE 5700.7C), WORK AUTHORIZATION SYSTEM, dated May 18, 1992, which has now been renumbered in accordance with the new DOE Order Numbering System, as published in DOE M 251.1-1, Change 1, dated December 12, 1995. Nothing within the DOE Order has been changed at this point, but if a new DOE Order is published, it will be numbered in this manner. Until that time, the new number is assigned to the previous DOE Order. This new Oak Ridge Operations (ORO) Chapter assigns responsibility and accountability and provides instructions for establishing and carrying out a Work Authorization System (WAS) within ORO. Nothing in this issuance changes any requirements contained in any DOE Order.

This Chapter also establishes the Field Work Proposal (FWP) (OR Form 5700.7, see Attachment 2 of this Chapter), as the basic work support document for all work performed by contractors identified in paragraph 3 below. Any variations from the attached format will be addressed in separate budget guidance.

2. CANCELLATION. This Chapter cancels and replaces ORIG 5700.7B, WORK AUTHORIZATION SYSTEM, dated December 19, 1992.
3. APPLICABILITY. The provisions of this Chapter apply to ORO Principal Staff, management and operating (M&O) contractors, and other contractors who are requested to perform work by an M&O contractor or a DOE Program Office.
4. RESPONSIBILITIES.
 - a. Director, Planning and Budget Division (PBD).
 - (1) Ensures that all funds authorized in the M&O contractors' financial plans are supported by an OR Form 5700.7, which has been signed by an ORO program official.
 - (2) Assists Contracting Officers' Representatives (COR), as required, in such areas as budgeting and administrative control of funds.
 - b. Contracting Officers' Representatives for Management and Operating Contractors.
 - (1) Performs those tasks identified in DOE O 412.2, subparagraph 8d.
 - (2) Inform Headquarters (HQ) Program Officials of any restrictions or constraints on the use of M&O facilities.
 - (3) Solicit additional information from the applicable HQ Program Official(s) regarding the intent of the work being authorized.

- (4) Ensure that the scope, cost, and schedules specified in the FWP are appropriate to meet the technical and administrative requirements of the customers.
 - (5) Transmit a copy of each FWP to the PBD simultaneous to when it is sent to the M&O contractor for acceptance.
 - (6) Ensure that the M&O contractors execute approved work and tasks upon their acceptance (signature) of OR Form 5700.7 and receipt of the financial plans from ORO.
5. REQUIREMENTS AND PROCEDURES. None.
6. REFERENCES. None.
7. DEFINITIONS. None.
8. CONTRACTOR REQUIREMENTS DOCUMENT. See Contractor Requirements Document, Attachment 1 of this Chapter.
9. ATTACHMENTS.
 - a. Attachment 1 - Contractor Requirements Document.
 - b. OR Form 5700.7, Field Work Proposal.
 - c. DOE Work Authorization System Field Work Proposal Instructions.

CONTRACTOR REQUIREMENTS DOCUMENT

Contractors that are identified in paragraph 3 of this Chapter shall accomplish the following:

1. Prepare field work proposals in accordance with DOE O 412.2 and this Chapter.
2. Upon acceptance of a FWP Form and receipt of the financial plan from ORO, perform the work authorized and report financial information as prescribed by ORO.
3. Provide technical information to the Director, Office of Scientific and Technical Information, and to the COR in accordance with the requirements of DOE O 412.2.

OR Form 5700.7 (Page 1) (12/92)		U.S. Department of Energy Oak Ridge Field Office FIELD WORK PROPOSAL	
PROGRAM:			
1. WORK PROPOSAL NO.:	2. REVISION NO.:	3. DATE PREPARED:	
4. WORK PROPOSAL TITLE:			5. BUDGET & REPORTING CODE
6. WORK PROPOSAL TERM Begin: End:		PATENT COUNSEL This proposal is being transmitted in advance of patent review for evaluation purposes only. No further dissemination or publication shall be made without prior approval of the Assistant General Counsel for Patents, DOE.	7. IS THIS WORK PROPOSAL INCLUDED IN THE INSTITUTIONAL PLAN? <input type="checkbox"/> Yes <input type="checkbox"/> No
NAME: (Last, First, Mi.) (FTS Number)		11. HEADQUARTERS ORGANIZATION:	14. DOE ORGANIZATION CODE:
8. HEADQUARTERS/FIELD OFFICE PROGRAM MANAGER:			
9. FIELD OFFICE WORK PROPOSAL REVIEWER:		12. FIELD OFFICE: Oak Ridge	15. DOE ORGANIZATION CODE: OR
10. CONTRACTOR WORK PROPOSAL PRINCIPAL INVESTIGATOR(S)/MANAGER:		13. CONTRACTOR NAME:	16. DOE CONTRACTOR CODE:

17. WORK PROPOSAL DESCRIPTION (Approach, anticipated benefits in 200 words or less)

18. CONTRACTOR WORK PROPOSAL MANAGER: (Name and FTS No.) <hr style="border: 0; border-top: 1px solid black; margin-bottom: 5px;"/> <p style="text-align: center;">Signature Date</p>	19. FIELD OFFICE REVIEW OFFICIAL <hr style="border: 0; border-top: 1px solid black; margin-bottom: 5px;"/> <p style="text-align: center;">Signature Date</p>
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20. DETAIL ATTACHMENTS: (See instructions for page 3)

<input type="checkbox"/> a. Facility Requirements	<input type="checkbox"/> d. Background	<input type="checkbox"/> g. Future accomplishments	<input type="checkbox"/> j. Explanation of Milestones
<input type="checkbox"/> b. Publications	<input type="checkbox"/> e. Approach	<input type="checkbox"/> h. Relationships to other projects	
<input type="checkbox"/> c. Purpose	<input type="checkbox"/> f. Technical progress	<input type="checkbox"/> i. Environmental assessment	<input type="checkbox"/> k. Other (specify)

OR Form 5700.7 (Page 2)		WORK PROPOSAL REQUIREMENTS FOR OPERATING/EQUIPMENT OBLIGATIONS AND COSTS					
PROGRAM:							
CONTRACTOR NAME:	WORK PROPOSAL TITLE:						
	WORK PROPOSAL NO.:	REVISION NO.:	DATE PREPARED:				
21. STAFFING (in staff years)	PRIOR YEARS	FY 19	FY 19		FY 19	FY 19	TOTAL TO
			REQUEST	AUTHOR			
a. SCIENTIFIC.....							
b. OTHER DIRECT.....							
c. OTHER DIRECT-INTER PLANT.....							
d. TOTAL DIRECT.....							
22. OPERATING EXPENSE (In Thousands)							
a. TOTAL OBLIGATIONS.....							
COSTS:							
1) COST CENTERS.....							
2) MATERIALS AND SERVICES.....							
3) SUBCONTRACTS AND CONSULTANTS.....							
4) INDIRECT COSTS.....							
b. TOTAL COSTS.....							
23. EQUIPMENT (In Thousands)							
a. EQUIPMENT OBLIGATIONS.....							
b. EQUIPMENT COSTS.....							
24. MILESTONE SCHEDULE (TASKS:)	DOLLARS (in Thousands)				SCHEDULE (DATE)		
			PROPOSED	AUTHORIZED		PROPOSED	AUTHORIZED
25. REPORTING REQUIREMENTS (DESCRIPTION)							

OR Form 5700.7 (Page 3)

WORK PROPOSAL JUSTIFICATION REQUIREMENTS
OBLIGATIONS AND COSTS

PROGRAM:

CONTRACTOR NAME:

WORK PROPOSAL TITLE:

WORK PROPOSAL NO.:

REVISION NO.:

DATE PREPARED:

20. DETAIL ATTACHMENT CONT'D.:

DOE WORK AUTHORIZATION SYSTEM FIELD WORK PROPOSAL INSTRUCTIONS

A. The Work Authorization System (WAS) Field Work Proposal is to be used when required by a field office for planning and budget formulation. It may also be used as all or part of the documentation of a Work Authorization. The form is also to be used by an M&O Contractor to describe prospective work. The form is intended to provide an overview of the effort, including each of the tasks necessary for project completion. Proposals should be limited to a single project to allow reporting of costs, obligations, and other information needed by the DOE Project Management System (PMS).

B. Page 1 of the Form.

Item 1. Enter a unique seven character number for the proposal. The first two characters of this number are to signify the DOE organizational code used when assigning regular contract numbers, such as EV, ER, and DP. The third character is to be the letter "W." The remaining four characters will be unique sequential numbers assigned by the requesting organization.

Item 2. If the initial proposal is changed, a revision is indicated by placing a number in this space, starting with the number "1" and proceeding in sequence.

Item 3. Enter the month, day, and year the form is prepared; for example: 10-01-85.

Item 4. Enter a descriptive title of the work being proposed.

Item 5. Enter the B&R Code in accordance with the classification set forth in the Accounting Practices and Procedures Handbook.

Item 6. Enter the start and estimated completion date of the proposal. Use a two-numerical format for month, day, and year; for example: 10-01-85. For proposals initiated for an indefinite period of time, the completion date should be shown as "OPEN."

Item 7. Enter yes or no.

Item 8. When known, enter the name and phone number of the DOE Program Manager responsible for the overall program.

Item 9. When known, enter the name and phone number of the DOE Field Office individual responsible for reviewing the proposal.

Item 10. When known, enter the name and phone number of the M&O Contractor individual responsible for the proposal.

Item 11. Enter the DOE HQ/Field Office responsible for the overall program.

Item 12. Enter the DOE Field Office responsible for the work proposal.

Item 13. Enter the name of the M&O Contractor responsible for the proposal.

Item 14. Enter the approved DOE code of the office responsible for overall program management.

Item 15. Enter the approved DOE organizational code.

Item 16. Enter the two-digit code representing the performing M&O Contractor. This code is found in Attachment 1 of DOE 5700.7C.

Item 17. Enter a description of the proposal in 200 words or less, highlighting the purpose, approach, and anticipated benefits the proposal will provide to the program's mission.

Item 18. Enter the signature of the contractor work proposal manager and the date when the proposal is given to the reviewing official.

Item 19. The signature of the reviewing official and the date are to be entered when the proposal is forwarded to the Program Manager.

Item 20. Detailed attachments are to be completed if they are necessary to understand or will enhance the

proposal. Any attachments accompanying the proposal should be indicated by checking the appropriate blocks. Each attachment page should indicate the contractor name, the proposal number, and the date prepared.

- a. Facility requirements. If execution of field work proposal requires the use of existing or approved facilities, briefly describe the required use and location, with associated gross square footage and impact on site utility services by fiscal year in which the proposal begins and each subsequent fiscal year during the anticipated life of the proposal. Facility needs will be reviewed in context of overall site planning and utilization and expressed in terms of space functions: e.g., office, storage space, site utilities, etc.
- b. Publications. List all publications pertaining to the proposal during the prior fiscal year. Provide the title or subject and planned date of publications of all topical reports over the life of the proposal. Periodic progress reports are to be listed in this section.
- c. Purpose. Enter the reason(s) for the proposal and the objectives that will accomplish the stated purpose. The objective(s) should be the single highest level of measurable achievement that can serve as a criterion for measuring the success or failure of the proposal.

- d. Background. Enter a brief historical overview of the proposal or preview work or theories that have led to the proposal.
- e. Approach. Explain the management controls and methodology that will be used to execute the proposal in all fiscal years.
- f. Technical Progress. Attach the last Technical Progress Report, if required by the DOE program. Also describe the technical progress in BY-3 (the last complete fiscal year) and expected progress for BY-2, BY-1, and BY.
- g. Future Accomplishments. Describe any anticipated benefits that will accrue in the future which are attributable to the proposal.
- h. Relationships to Other Projects. Provide a description of any relationships, interrelationships, or dependencies which the proposal has with other known federally-funded projects.
- i. Environmental Assessment. In accordance with the National Environmental Policy Act of 1969, describe the long-term and short-term potential impacts and effects of the work package upon the ecosystem.
- j. Explanation of Milestones (if applicable). A detailed explanation on the second page of the proposal (Item 24) should be given. For basic research, the only milestone may be the submission of a yearly progress report.

- k. Other. Any other attachments should be specified in the space provided on the work package form.

C. Page 2 of the Form - General.

Header information on this page should be filled in as it appears on page 1. The "Authorized" columns are not completed unless requested by the program when funds have been authorized. The column heading designations on page 2 of the WAS Field Work Proposal Form are between the fiscal years (FY) for which information is being provided is illustrated in the table below.

Prior Years. For proposals related to projects, information for all prior years in which work has been performed should be provided to allow total project cost and other information to be calculated. This column is optional and should only be completed when requested by the program in the program guidance.

Item 21. Designate personnel staffing in full time equivalent person-years (as defined in DOE Manual Chapter 1101.) Enter the numbers of scientific and other direct person-years for all columns.

Item 22. Enter estimates for total obligations and total costs per year for all columns. This should include inventories.

Item 23. Enter estimates for total obligations and total costs per year for all columns for equipment directly related to the proposal.

Item 24. Enter the titles of the supporting tasks in the "Milestone Schedule" column. Each task should be followed by the total obligations in thousands of dollars in the "Dollars Proposed" column. The dates (MO/YR) on which the tasks are projected for start and completion should be entered in the "Proposal Schedule" columns (will be completed if requested by the Program Manager) when funds have been authorized. Based on the allocation of funds, enter the dates for the planned start and completion of the respective tasks when requested.

Item 25. Enter all reporting requirements for the proposed work to include a description and frequency for each report.

CALENDAR YEAR THAT DOE PREPARED BUDGET (BY)				
	1985	1986	1987	1988
BY-3	FY 1984	FY 1985	FY 1986	FY 1987
BY-2	FY 1985	FY 1986	FY 1987	FY 1988
BY-1	FY 1986	FY 1987	FY 1988	FY 1989
BY	FY 1987	FY 1988	FY 1989	FY 1990
	1986	1987	1988	1988

CALENDAR YEAR THAT CONGRESS CONSIDERS BUDGET (BY)