

# BUDGET & FINANCIAL MANAGEMENT RESPONSIBILITIES

DATED: 11/14/2008

**SUBJECT: WORK AUTHORIZATION SYSTEM**

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1. PURPOSE. This document addresses responsibility and accountability and provides administrative guidance to Oak Ridge Office (ORO).

This document also establishes the Field Work Proposal (FWP) (OR Form O 410.1, see Attachment 2 of this document), as the basic work support document for most work performed by contractors identified in Paragraph 2 below. Any variations from the attached format will be addressed in separate budget guidance.

2. APPLICABILITY. The provisions of this document apply to ORO Principal Staff.
3. RESPONSIBILITIES.
  - a. Director, Planning and Budget Division (PBD).
    - (1) Ensures that funds authorized in the M&O and M&I contractors' financial plans are supported by an OR Form O 410.1, which has been signed by an ORO program official, and by a Work Authorization signed by program officials at Headquarters (HQ), ORO, and the contractor (see DOE O 412.1A, for sample format) for those programs that utilize the Work Authorization System (WAS). Programs not utilizing the WAS must provide specific written guidance on the tasks to be performed.
    - (2) Assists Contracting Officer's Representatives (CORs), as required, in such areas as budgeting and administrative control of funds.
  - b. Contracting Officer's Representatives for Management and Operating, Management and Integration Contractors.
    - (1) Perform those tasks identified in DOE O 412.1A, subparagraph 5d.
    - (2) Inform HQ program officials of any restrictions or constraints on the use of M&O or M&I 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 and Work Authorization are appropriate to meet the technical and administrative requirements of the customers.
    - (5) Transmit a copy of each Work Authorization to the PBD simultaneous to when it is sent to the M&O or M&I contractor for acceptance.
    - (6) Ensure that the M&O or M&I contractors execute approved work and tasks upon their acceptance (signature) of the Work Authorization and receipt of the financial plans from ORO.

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## 4. ATTACHMENTS.

- a. Attachment 1 - OR Form O 410.1, "*Field Work Proposal.*"
- b. Attachment 2 - DOE Work Authorization System Field Work Proposal Instructions.

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Attachment 1

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OR Form O 410.1 (12/01)		U. S. Department of Energy Oak Ridge Office FIELD WORK PROPOSAL	
1. Work Proposal Number:	2. Revision Number:	3. Date Prepared:	
4. Work Proposal Title:		5. Budget and Reporting Code:	
6. Work Proposal Term: <b>Begin</b>		<b>End</b>	
7. Name (Last, First, MI) (Phone Number) Headquarters Program Manager:		8. Headquarters Organization:	
9. DOE Field Element Work Proposal Reviewer:		10. DOE Field Element:	
11. Contractor Work Proposal Manager:		12. Contractor Name:	
13. Proposal Description (Approach, Anticipated Benefit in 200 Words or Less):			
14. Contractor Work Proposal Manager:		15. DOE Field Element Official:	
_____ (Signature)		_____ (Signature)	
_____ (Date)		_____ (Date)	
16. Detail Attachments: (See Attachments)			
<input type="checkbox"/> a. Facility Requirements	<input type="checkbox"/> f. Technical progress	<input type="checkbox"/> k. Deliverable	
<input type="checkbox"/> b. Publications	<input type="checkbox"/> g. Future Accomplishments	<input type="checkbox"/> l. Perform measures/ expectations	
<input type="checkbox"/> c. Purpose	<input type="checkbox"/> h. Relationships to Other Projects	<input type="checkbox"/> m. ES&H Considerations	
<input type="checkbox"/> d. Background	<input type="checkbox"/> i. NEPA Requirements	<input type="checkbox"/> n. Human/Animal Subjects	
<input type="checkbox"/> e. Approach	<input type="checkbox"/> j. Milestones	<input type="checkbox"/> o. Other (Specify)	

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Attachment 1

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OR Form O 410.1 (page 2) WORK PROPOSAL REQUIREMENT FOR OPERATING/EQUIPMENT OBLIGATIONS AND COSTS							
CONTRACTOR NAME:			WORK PROPOSAL #:		REV. NO.:		DATE PREPARED:
	<b>Prior Years</b>	<b>BY -1</b>	<b>Budget Year (BY)</b>		<b>BY +1</b>	<b>BY +2</b>	<b>Total To Complete</b>
<b>17. Staffing (staff years):</b>							
a. Scientific	_____	_____	_____	_____	_____	_____	_____
b. Other Direct	_____	_____	_____	_____	_____	_____	_____
c. Total Direct	_____	_____	_____	_____	_____	_____	_____
<b>18. Operating Expense:</b>							
a. Total Obligations	_____	_____	_____	_____	_____	_____	_____
b. Total Costs	_____	_____	_____	_____	_____	_____	_____
<b>19. Equipment:</b>							
a. Equipment Obligations	_____	_____	_____	_____	_____	_____	_____
b. Equipment Costs	_____	_____	_____	_____	_____	_____	_____
<b>20. Milestone Schedule:</b>			<u>Proposed</u>			<u>Authorized</u>	
<b>21. Reporting Requirements (Description):</b>							

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## DOE WORK AUTHORIZATION SYSTEM FIELD WORK PROPOSAL INSTRUCTIONS

- A. The Work Authorization System Field Work Proposal (FWP) 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 a management and operating (M&O), or management and integration (M&I) 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.
- 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 Department of Energy (DOE) organizational code used when assigning regular contract numbers, such as EM, SC, 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: 10-01-2001.
- Item 4. Enter a descriptive title of the work being proposed.
- Item 5. Enter the old B&R Code and/or new Program Number in accordance with the classification set forth on the Chief Financial Officer Home Page as follows: <http://www.cfo.doe.gov>, select Products/Services, then item No. 2 "Budget and Reporting Classification Code System."
- Item 6. Enter the start and estimated completion date of the proposal. Use a two-numerical format for month, day, and year; for example: 10-01-2001. For proposals initiated for an indefinite period of time, the completion date should be shown as "OPEN."
- Item 7. Enter the name and phone number of the DOE program manager responsible for the overall program.
- Item 8. The DOE Headquarters program office responsible for reviewing the work proposal.
- Item 9. Enter the name and phone number of the DOE field office individual responsible for reviewing the proposal.
- Item 10. The DOE field element responsible for the work proposal.
- Item 11. Enter the name and phone number of the M&O or M&I contractor individual responsible for the proposal.

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Item 12. Enter the DOE M&O or M&I contractor responsible for the work proposal.

Item 13. 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 14. The signature of the contractor representative responsible for the proposal and the date is to be entered when the proposal is given to the reviewing official.

Item 15. The signature of the reviewing official and the date are to be entered when the proposal is forwarded to the program manager.

Item 16. Detailed attachments are to be completed if necessary to understand or 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.

**Facility requirements.** If execution of the FWP requires the use of existing or approved facilities, briefly describe the required use and locations, with associated gross square footage and impact on site utility services by fiscal year (FY) in which the proposal begins and each subsequent FY 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.

**Publications.** List all publications pertaining to the proposal during the prior FY. 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.

**Purpose.** Provide the reason(s) for the proposal, the objectives that will be accomplished, and the stated purpose. The objectives(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.

**Background.** Present a brief historical overview of the proposal or previous work or theories that have led to the proposal.

**Approach.** Explain the management controls and methodology that will be used to execute the proposal in all FYs.

**Technical progress.** Attach the last Technical Progress Report, if required by the DOE program office. Also describe the technical progress in BY-3 (the last complete FY) and expected progress for BY-2, BY-1, and BY.

**Future accomplishments.** Describe any anticipated benefits that will accrue in the future which are attributable to the proposal.

**Relationships to other projects.** Provide a description of any relationships, interrelationships, or dependencies which the proposal has with other known Federally funded projects.

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- i. Environmental Assessment. In accordance with the National Environmental Policy Act of 1969 (NEPA), describe the long-term and short-term potential impacts and effects of the work package upon the ecosystem, and NEPA documentation that must be prepared.
- j. Milestones (if applicable). A detailed explanation on the second page of the proposal (Item 20) should be given. For basic research, the only milestone may be the submission of a yearly progress report.
- k. Deliverables. An itemized list of deliverables under the proposal, excluding reports required under Item 21.
- l. Performance measures and expectations. A description of the performance measures described as outcomes and the expectations for achieving those measures by which the success of the proposal will be measured.
- m. ES&H considerations. A description of the environment, safety, and health (ES&H) hazards arising from the performance of the proposed work and mitigating actions needed to protect the workers, the public, and the environment.
- n. Human/animal subjects research. Describe any anticipated human subjects or animal subjects research activity that may occur as part of the proposed work.
- o. Other. Any other attachments should be specified in the space provided on the work package form.

Page 2 of Form – General.

Header information on this page should be filled in as it appears on page 1. The "Authorized" column is not completed unless requested by the program when funds have been authorized. The column heading designations on page 2 of the DOE Field Work Proposal Form are defined below. The relationship between the FYs 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 17. Briefly designate personnel staffing in full time equivalent person-years. Enter the number of scientific and other direct person-years for all columns.

Item 18. Enter estimates for total obligations and total cost per year for all columns. This should include inventories.

Item 19. Enter estimates for total obligations and total costs per year for all columns for equipment directly related to the proposal.

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Item 20. Enter 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 "Proposed By" column. The dates (MO/YEAR) 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 21. Enter all reporting requirements for the proposed work to include a description and frequency for each report.

<b>CALENDAR YEAR THAT DOE PREPARED BUDGET (BY)</b>				
	<b>2005</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>
BY-3 (PY-1)	FY 2004	FY 2005	FY 2006	FY 2007
BY-2 (PY)	FY 2005	FY 2006	FY 2007	FY 2008
BY-1 (CY)	FY 2006	FY 2007	FY 2008	FY 2009
BY	FY 2007	FY 2008	FY 2009	FY 2010
	2006	2007	2008	2009
<b>CALENDAR YEAR THAT CONGRESS CONSIDERS BUDGET (BY)</b>				