



# U.S. Department of Energy

Oak Ridge Operations

ORO O 410  
Chapter IV

DATE: 09-24-96

## SUBJECT: MANAGEMENT CONTROL PROGRAM

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1. PURPOSE. This Chapter relates to DOE O 413.1, MANAGEMENT CONTROL PROGRAM, dated December 6, 1995, by assigning responsibility and accountability and providing administrative and/or contractual guidance to the Oak Ridge Operations (ORO) and its contractors. Nothing in this issuance changes any requirements contained in any DOE Order.
2. CANCELLATION. This Chapter cancels and replaces OR 1000.3A, INTERNAL CONTROLS, dated September 11, 1989.
3. APPLICABILITY. The provisions of this Chapter apply to ORO Principal Staff and management and operating (M&O) contractors.
4. RESPONSIBILITIES.
  - a. ORO Chief Financial Officer shall transmit any mid-year updates of action plans for reportable problems to the DOE Chief Financial Officer.
  - b. Assistant Managers.
    - (1) Annually perform the portion of the summary management reviews covering the programs and administrative functions under their cognizance and identify any reportable problems for inclusion in the Manager's Annual Assurance Report.
    - (2) Prepare, and update at mid-year, action plans which summarize planned corrective actions for reportable problems in activities under their cognizance.
  - c. Director, Evaluation and Control Division.
    - (1) Coordinates the preparation and transmittal of reports and other information required by the Federal Managers' Financial Integrity Act (FMFIA).
    - (2) Designate a management control action officer who:
      - (a) Serves as the ORO point of contact for developing and implementing management control program guidance and procedures and, as necessary, assists Headquarters in developing DOE management control policy .
      - (b) Conducts local and national training sessions on FMFIA requirements.
      - (c) Assists senior management in conducting the annual summary management review.
      - (d) Analyzes and prepares the required report on the results of the summary management review.

- d. Director, Oak Ridge Financial Service Center performs summary management reviews of ORO's Financial Management System (FMS) on an annual basis, except in years where a Headquarters-directed detailed FMS review is performed.
- e. Principal Staff perform those tasks identified in DOE O 413.1, subparagraph 4a(1)-(3).
- f. Contracting Officers' Representatives (COR) shall request M&O contractors to provide reports on contractor management controls.

Note: For contractors with multiple COR, the management control action officer shall designate one COR to request a report covering all contractor activities.

- 5. REQUIREMENTS AND PROCEDURES. None.
- 6. REFERENCES. None.
- 7. DEFINITIONS. None.
- 8. CONTRACTOR REQUIREMENTS DOCUMENT. None.
- 9. ATTACHMENTS. None.