

ORO CONTROL FORM - FINAL DIRECTIVE

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

1. NUMBER AND TITLE OF DIRECTIVE: **ORO O 410, Chapter IV, Change 3, MANAGEMENT CONTROL PROGRAM**

2. PURPOSE OF TRANSMITTAL: New Directive Revised Directive

3. THIS DOCUMENT MAY AFFECT THE WORK PERFORMED BY THE FOLLOWING CONTRACTORS: (Check appropriate boxes)

No (all contractors)

Yes If yes, whom? Bechtel Jacobs Co. ORAU UT-Battelle ISOTEK (Bldg. 3019, ORNL)

Other contractors (list by type)

Many ORO contractors have approved Standards/Requirements Identification Documents (S/RIDs) or Work Smart Standards (WSS) Sets that may affect applicability of contractor requirements from this directive. Applicability of contractor requirements must take into account the approved standards set for each particular contract.

4. SIGNIFICANT PROVISIONS: Are there any significant changes or impacts? No Yes
If yes, describe: This ORO Chapter is part of the ORO sunset review process. Changes to this Chapter include addition of 4b(2)(e) to Paragraph 4.

5. CONTACT POINT: Peter Johnson Financial Evaluation & Accountability Div., FM-73 576-0970
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>
ORO Control Form	10/24/2002	ORO Control Form	11/30/2004
ORO O 410, Ch. IV, Chg. 2	10/24/2002	ORO O 410, Ch. IV, Chg. 3	11/30/2004

ORO Directives are available on the ORO Directives Management Group Home Page at http://www.ornl.gov/doe/doe_oro_dmg/oro_dir.htm. The ORO Directives will no longer be mailed in printed copy unless you do not have Internet capabilities.

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

Original Signed By
Wayne H. Albaugh 11/30/2004
Signature: DMG Team Leader, AD-440 Date

INSTRUCTIONS TO ADDRESSEES: THIS FORM IS TO BE FILED WITH THE DIRECTIVE AND RETAINED

Rev. 06/14/2004

U.S. Department of Energy

Oak Ridge Operations

ORO O 410 Chapter IV Change 3

DATE: 11/30/2004

SUBJECT: MANAGEMENT CONTROL PROGRAM

1. PURPOSE. This Chapter correlates to DOE O 413.1A, MANAGEMENT CONTROL PROGRAM, dated April 18, 2002, 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 Department of Energy (DOE) Directive.
2. CANCELLATION. This Chapter cancels and replaces ORO O 410, Chapter IV, Change 2, MANAGEMENT CONTROL PROGRAM, dated October 24, 2002.
3. APPLICABILITY. The provisions of this Chapter apply to ORO Principal Staff. Although the Contractor Requirements Document attached to DOE O 413.1A is applicable to contractors to the extent set forth in their contract, no additional requirements intended for contractors are imposed in this Chapter.
4. RESPONSIBILITIES.
 - a. Assistant Managers. Annually perform the portion of the summary management review covering the programs and administrative functions under their cognizance and identify any reportable problems for inclusion in the Manager's Annual Assurance Report.
 - b. Director, Financial Evaluation and Accountability 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 (MCAO) 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.

- (e) Supports and provides guidance to the Thomas Jefferson National Accelerator Facility and Pacific Northwest Site Offices in their activities to comply with the FMFIA.
- c. Director, Oak Ridge Financial Service Center performs an annual summary management review of ORO's Financial Management System.
- d. Principal Staff.
 - (1) Support the annual evaluation and reporting on the adequacy of management controls and financial management systems.
 - (2) Correct reportable problems identified in their respective programs, administrative functions, and/or financial management systems in a timely and effective manner.
 - (3) Consider reportable problems in the strategic planning and budgeting processes.
- e. Contracting Officer's Representatives (CORs) request contractors responsible for the management and operation (M&O) of the Department-owned facilities to provide reports on contractor management controls.

NOTE: For contractors with multiple CORs, the MCAO will 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. See CRD for DOE O 413.1A.
- 9. ATTACHMENTS. None.