

**U.S. Department of Energy**  
**Washington, D.C.**

**ORDER**

**DOE O 412.1**

Approved: 4-20-99

**This directive was reviewed and certified as current and necessary by (Enter Name), (Enter Title) Director, Office of Management, Budget and Evaluation/Chief Financial Officer, XX-XX-XXXX.**

**SUBJECT: WORK AUTHORIZATION SYSTEM**

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1. **OBJECTIVES.** To establish a work authorization and control process for work performed by designated management and operating (M&O), management and integrating (M&I), environmental restoration management contracts (ERMC) and other contracts determined by the Procurement Executive (hereafter referred to as M&O contractors).
2. **CANCELLATION.** DOE 5700.7C, WORK AUTHORIZATION SYSTEM, dated 5-18-92. Cancellation of a directive does not, by itself, modify or otherwise affect any contractual obligation to comply with such a directive. Canceled directives that are incorporated by reference in a contract remain in effect until the contract is modified to delete the reference to the requirements in the canceled directive.
3. **APPLICABILITY.**
  - a. **DOE Elements.** The Work Authorization System applies to all DOE elements that direct work to be performed by M&O contractors and other contracts determined by the Procurement Executive, except work involving reimbursable work for others, and services, products, or materials regularly produced for sale at scheduled rates under DOE programs (e.g., routine irradiation services, radioisotopes, production or transmission of electricity).
  - b. **Contractors.** The Contractor Requirements Document (CRD), attachment 1, sets forth intended requirements to be applied to M&O contractors and other contracts determined by the Procurement Executive when involvement in the directives process is required. Compliance with the CRD will be required to the extent set forth in a contract.
  - c. **Exclusions.** This Order does not apply to activities conducted under the authority of the Director, Naval Nuclear Reactors Propulsion Program, as described in Public Law 98-525.
4. **REQUIREMENTS.**
  - a. All work authorized or deauthorized must be documented in a work authorization. (See attachment 2 for sample format)

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**DISTRIBUTION:**  
All Departmental Elements

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**INITIATED BY:**  
Office of Field Management

- b. All work authorizations must be performance-based, consistent with DOE's strategic management system and DOE G 120.1-5, GUIDELINES FOR PERFORMANCE MEASUREMENT.
- c. At a minimum, each work authorization will contain the following information:
  - (1) (a) project title;  
(b) reference to work proposal number if applicable, (see 4.h. below);
  - (2) Headquarters programmatic point of contact, organization, and telephone number;
  - (3) Headquarters budget point of contact and telephone number;
  - (4) responsible program;
  - (5) responsible Program Secretarial Officer;
  - (6) responsible field element;
  - (7) M&O contractor name, point of contact, and telephone number;
  - (8) work authorization number (see Paragraph d, below), with revision number if applicable;
  - (9) budget and reporting code (control level) and funding level;
  - (10) dates for performance period, work start, and work completion;
  - (11) statement of work (see Paragraph e, below);
  - (12) reporting requirements, including (1) project management or status reports, and (2) reports or publications for the purpose of informing DOE, the scientific community, and the public of the project results (e.g., scientific advances or technical progress);
  - (13) as appropriate, safeguards and security requirements in accordance with DOE Order 470.1, Safeguards and Security program, and
  - (14) Headquarters, field element, and contractor signature blocks.

- d. Each work authorization must have a unique, standardized 7 digit identifying number as described in attachment 2. The number must remain unchanged for the total life of the work assignment. This number should also be included in the Approved Funding Program (AFP) (see Paragraph i, below).
- e. The statement of work is to include the following information as appropriate:
  - (1) detailed statement of work to be performed or reference to a field work proposal, project plan, or similar document that describes the scope of work;
  - (2) milestones;
  - (3) deliverables, including technical information as required by Order 241.1, SCIENTIFIC AND TECHNICAL INFORMATION MANAGEMENT; and
  - (4) performance measures/expectations.
- f. DOE field elements must obtain a signed copy of each work authorization accepted by the M&O contractor as evidence of acceptance of the work authorization. Work is not authorized to commence until the contractor receives both funding (via a contract modification) and the related work authorization guidance.
- g. Program offices may delegate to Field Element Managers certain responsibilities and authorities of the program manager such as the assignment of tasks and/or distribution of funds to M&Os under their cognizance. In such circumstances, the DOE field element is responsible for preparing and issuing the work authorization.
- h. A program office may require an M&O contractor to use a field work proposal to provide information for program planning, budget formulation, or documentation of part or all of a work assignment. An M&O contractor may use a field work proposal to propose work to a program office. (See Attachment 3 for sample format.) For other programs, project baseline summaries, project plans, or similar documents will suffice, if data similar to the field work proposal content are provided therein.
- i. Funds necessary to support work authorizations will be provided through the existing AFP. The M&O contractor will have the flexibility to manage individual tasks within the work assignment. Manpower and dollars may be shifted, as necessary, subject to DOE or Congressionally imposed constraints and program office concurrence.

- j. Authorizations for work planned in the current fiscal year are to be issued by the beginning of the fiscal year to the maximum extent possible. Work authorizations should be transmitted to the field within ten days after submission of the AFP to the Chief Financial Officer.

5. RESPONSIBILITIES.

- a. Under Secretary. Establishes DOE policies for the assignment and control of work authorization to the designated M&O contractors.
- b. Cognizant Secretarial Officers.
  - (1) Inform other DOE Elements of restrictions or constraints on the use of a contractor facility under their cognizance.
  - (2) Recommend to the Under Secretary appropriate changes in the policies for work authorization for the designated M&O contractors.
- c. Program Secretarial Officers.
  - (1) Provide general approval of work to be accomplished under the provisions of this Order, normally as part of institutional planning, budget formulation, execution or similar processes. Approval of specific work authorizations and associated documentation may be delegated.
  - (2) Prepare work authorizations in accordance with paragraph 4. REQUIREMENTS. Aggregate work into related work assignments at the highest appropriate level.
  - (3) To the maximum extent possible, issue full annual funding and associated work authorizations to M&O contractors as early in the fiscal year as possible.
  - (4) For work authorizations they initiate, ensure that;
    - (a) the authorized work is appropriate for performance by an M&O contractor;
    - (b) the work is not inappropriately duplicative of other ongoing work;
    - (c) the work is within the mission of the M&O contractor; and

- (d) the documentation provided with the work authorization and the requirements stipulated are both technically and programmatically adequate.
- (5) As needed, issue and revise work authorizations to the DOE field elements and request necessary AFP changes through the Chief Financial Officer (CR-1) in accordance with established procedures for administrative control of funds. Transmit work authorizations to the field within ten days after submission of the AFP to the Chief Financial Officer.
- (6) Ensure that formal agreement is reached with the DOE field element in any instance in which the DOE field element is delegated technical assessment of work assignments or technical oversight and control of assigned work.
- (7) Monitor performance and reports submitted by M&O contractors to ensure that work performed and costs incurred conform to the work authorizations they issue.

d. Managers of DOE Field elements.

- (1) Ensure that work performed by an M&O contractor does not violate restrictions or constraints on the use of DOE-controlled facilities and that it is carried out in a manner that protects the workers, public, and the environment against ES&H hazards arising from performance of contract work.
- (2) Ensure that the applicable work authorization requirements of Paragraph 4 have been satisfied prior to granting authorization to proceed and that the M&O contractor has no significant disagreement with the assignment before work commences.
- (3) Review all proposed work authorizations to M&O contractors under their cognizance to ensure that they are appropriate for performance by an M&O; are within the mission of the M&O selected; and for M&Os with institutional plans, are within the scope and general levels of efforts agreed upon.
- (4) Issue and revise work authorizations for work assigned by the DOE field element when the assignment decision has been delegated.
- (5) Ensure that the contractor provides a signed copy of the work authorization and all required reports to the Program Secretarial Officers as required.

- (6) Monitor performance and reports submitted by the M&O contractors to ensure that work performed and cost incurred conform to work authorizations issued.
  - (7) Authorize work in accordance with the approved funding program, programmatic guidance, and established procedures for administrative control of funds.
  - (8) Ensure that costs related to work authorizations can be adequately tracked prior to issuing the authorization.
  - (9) Review field work proposals prepared by contractors for consistency with program and other guidance. Ensure that work proposed will not violate restrictions or constraints on the use of DOE-controlled facilities and that it will be carried out in a manner that protects the workers, public and the environment against ES&H hazards arising from performance of contract work. Transmit the proposals with any comments and recommendations to program offices within the time frames established in the budget call issued by the Chief Financial Officer and program guidance issued by the program offices.
  - (10) Ensure the M&O contractors provide technical information to the Director of Scientific and Technical Information (SC-33) in accordance with the requirements of DOE O 241.1, SCIENTIFIC AND TECHNICAL INFORMATION MANAGEMENT.
- e. Chief Financial Officer (CR-1). Performs tasks of an accounting and budgetary nature associated with the process described in this Order, such as issuing allotments, AFPs, and financial reports.

6. REFERENCES.

- a. DOE G 120.1-5, GUIDELINES FOR PERFORMANCE MEASUREMENT, which provides guidance on performance measurement in DOE.
- b. DOE O 130.1, Budget Formulation, which establish policy provisions and defines the roles and responsibilities of Departmental Elements and contractors participating in the Department s annual budget formulation process.

- c. DOE O 135.1, Budget Execution, which describes the DOE systems, policies, and assignment of requirements for the control of the Department's budget execution process.
- d. DOE O 224.1A, PERFORMANCE-BASED BUSINESS MANAGEMENT PROCESS, which provides the process to improve DOE and contractor performance in business management functions, institutionalize a business management system that encourages and rewards excellence, continuous improvement, and timely communication, a level of trust that minimizes DOE's need for conducting on-site reviews of DOE and contractor business management functions and establish performance objectives and measures.
- e. DOE O 241.1, SCIENTIFIC AND TECHNICAL INFORMATION MANAGEMENT, which provides the objective, responsibilities, and requirements concerning the reporting and dissemination of technical information. Scientific and technical information resulting from work funded by DOE is to be made broadly available to the scientific community and the public, within appropriate adherence to statutorily mandated protections.
- f. DOE P 450.4, SAFETY MANAGEMENT SYSTEM POLICY which provides the policy for a formal, organized process whereby people plan, perform, assess, and improve the safe conduct of work.
- g. DOE P 450.5, LINE ENVIRONMENT, SAFETY AND HEALTH OVERSIGHT, which provides policy for DOE line management environment, safety and health (ES&H) oversight.
- h. DOE O 470.1, SAFEGUARDS AND SECURITY PROGRAM, which provides requirements and responsibilities for the appropriate protection levels against unauthorized access; theft, diversion, loss of custody, or destruction of nuclear weapons or components; espionage, loss or theft of classified matter or Government property; and other hostile acts that impact national security, the health and safety of employees, the public, or the environment.
- i. DOE O 534.1 ACCOUNTING, which establishes requirements for the financial management of cash, advances, receivables, inventories, and investment of funds; accountability for plant and capital equipment; current and long-term liabilities; and accounting for equity revenues, collections, expenses, and reimbursable work performed by DOE on behalf of Federal agencies and non-Federal entities.
- j. DOE O 542.1, COMPETITION IN CONTRACTING, which implements the Competition in Contracting Act.

7. CONTACT. For assistance, contact the Office of Field Management, 202-586-5258.
8. DEFINITIONS. Please refer to the DOE glossary on the Internet at <http://www.explorer.doe.gov> for definitions.

BY ORDER OF THE SECRETARY OF ENERGY:



RICK FARRELL  
DIRECTOR OF MANAGEMENT  
AND ADMINISTRATION

CANCELED



## **ATTACHMENT 1**

### **CONTRACTOR REQUIREMENTS DOCUMENT**

#### **DOE O 412.1, WORK AUTHORIZATION SYSTEM**

Applicable Department of Energy (DOE) contractors must comply with the following requirements:

1. Indicate acceptance of the work by signing the work authorization and returning signed copies to the field element and to the Headquarters program budget point of contact.
2. Carry out the work agreed to in the work authorization consistent with its terms and conditions.
3. Complete the reporting requirements as described in the work authorization. At a minimum, each work authorization will require one technical progress report each fiscal year, a final technical report at the termination of the work assignment, and an annual report of costs incurred in relation to authorized funding.
4. Make technical information available to the Director of Scientific and Technical Information (SC-33) in accordance with the requirements of DOE O 241.1, SCIENTIFIC AND TECHNICAL INFORMATION MANAGEMENT. The unique work authorization and work proposal numbers should be included as a reference on the technical information and the accompanying announcement record (DOE F 241.1).
5. Submit field work proposals as requested.

### SAMPLE WORK AUTHORIZATION

#### U.S. DEPARTMENT OF ENERGY MANAGEMENT & OPERATING (M&O)/MANAGEMENT & INTEGRATING (M&I) AND OTHER CONTRACT WORK AUTHORIZATION

1. a. Project Title: \_\_\_\_\_  
b. Work Proposal Number (if applicable) \_\_\_\_\_
2. Hq Program Point of Contact: \_\_\_\_\_  
Name \_\_\_\_\_ Org. Code \_\_\_\_\_ Tel. No. \_\_\_\_\_
3. Hq Budget Point of Contact: \_\_\_\_\_  
Name \_\_\_\_\_ Org. Code \_\_\_\_\_ Tel. No. \_\_\_\_\_
4. Responsible Program: \_\_\_\_\_
5. Responsible Secretarial Officer: \_\_\_\_\_
6. Responsible Field element: \_\_\_\_\_
7. a. M&O Contractor: \_\_\_\_\_  
b. Point of Contact: \_\_\_\_\_  
Name \_\_\_\_\_ Telephone No. \_\_\_\_\_
8. Work Authorization No.:\* \_\_\_\_\_ 9. Revision No.: \_\_\_\_\_  
\*2 digit program identifier, 4 digit sequential number, last digit of fiscal year
10. Funds Authorized: (\$ in thousands)  

B&R Code	Previous	Change	Current
_____	_____	_____	_____
_____	_____	_____	_____
11. Performance Period Covered By Funds From: \_\_\_\_\_ To \_\_\_\_\_
12. Work Start Date: \_\_\_\_\_ 13. Expected Completion Date: \_\_\_\_\_
14. Statement of Work: (Detailed description of work to be performed or reference to a field work proposal, project plan, or similar document that describes the scope of work, milestones, deliverables, performance measures/expectations.)  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
15. Reporting Requirements: (Status Reports, scientific and technical information or similar)  

Name & Signature	Date
16. Work Authorization Official: _____	_____
17. DOE Field element Official: _____	_____
18. M&O Contractor: _____	_____

**SAMPLE FORMAT**  
**U.S. DEPARTMENT OF ENERGY**  
**FIELD WORK PROPOSAL**

<b>1. Work Proposal Number:</b>	<b>2. Revision No.:</b>	<b>3. Date Prepared:</b>	
<hr/>			
<b>4. Work Proposal Title:</b>	<b>5. Budget And Reporting Code:</b>		
<hr/>			
<b>6. Work Proposal Term: Begin</b> _____ <b>End</b> _____			
<hr/>			
<b>7. Name: (Last, First, MI) (Phone Number)</b> <b>Headquarters Program Manager:</b>	<b>8. Headquarters Organization:</b>		
<hr/>			
<b>9. DOE Field element Work Proposal Reviewer:</b>	<b>10. DOE Field element:</b>		
<hr/>			
<b>11. Contractor Work Proposal Manager:</b>	<b>12. Contractor Name:</b>		
<hr/>			
<b>13. Proposal Description (Approach, Anticipated Benefit in 200 Words or Less):</b>			
<hr/>			
<b>CANCELLED</b>			
<hr/>			
<b>14. Contractor Work Proposal Manager:</b>	<b>15. DOE Field Element Official:</b>		
_____ (Signature)	_____ (Date)	_____ (Signature)	_____ (Date)
<hr/>			
<b>16. Detail Attachments: (See Attachments)</b>			
a. Facility Requirements	f. Technical progress	k. Deliverables	
b. Publications	g. Future Accomplishments	l. Perform measures/expectations	
c. Purpose	h. Relationships to Other Projects	m. ES&H Considerations	
d. Background	i. NEPA Requirements	n. Human/Animal Subjects	
e. Approach	j. Milestones	o. Other (Specify)	

**WORK PROPOSAL REQUIREMENTS FOR OPERATING/EQUIPMENT  
OBLIGATIONS AND COSTS**

<b>CONTRACTOR NAME:</b>		<b>WORK PROPOSAL #:</b>		<b>REV. NO.:</b>		<b>DATE PREPARED:</b>	
	<b>Prior Years</b>	<b>BY -1</b>	<b>Budget Year</b>		<b>BY +1</b>	<b>BY +2</b>	<b>Total to Complete</b>
<b>17. Staffing (staff years):</b>			<u>Request</u>	<u>Authorized</u>			
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. Equipments costs	.....	.....	.....	.....	.....	.....	.....
<b>20. Milestone Schedule:</b>	<u>Proposed</u>			<u>Authorized</u>			
<b>21. Reporting Requirements (Description):</b>							

## DOE FIELD WORK PROPOSAL INSTRUCTIONS

A. The two page DOE Field Work Proposal is optional but may be required by a program office for planning and budget formulation. It may be used as all or part of the documentation of a Work Authorization. The form may also 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.

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 EM, SC, and DP. The third character is to be the letter "W." The remaining four characters will be a unique sequential number 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.** The month, day, and year on which form is prepared; for example: 10/01/99.

**Item 4.** A descriptive title of the work being proposed.

**Item 5.** The B&R Code in accordance with the B&R Classification Codes set forth on the Chief Financial Officer home page, [www.cfo.doe.gov](http://www.cfo.doe.gov).

**Item 6.** The start and estimated completion date of the proposal. Use a two-numerical format for month, day, and year; for example: 10/01/99. For proposals initiated for an indefinite period of time, the completion date should be shown as "OPEN."

**Item 7.** When known, enter the name and phone number of the DOE Program Manager responsible for the overall program.

**Item 8.** The DOE HQ Office 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.** The DOE Field element responsible for the work proposal.

**Item 11.** When known, enter the name and phone number of the M&O contractor individual responsible for the proposal.

**Item 12.** Enter the name of the M&O contractor responsible for the proposal.

**Item 13.** A description of the proposal in 200 words or less, highlighting the purpose, approach, and anticipated benefits the proposal will provide in the program's mission.

**Item 14.** The signature of the contractor representative responsible for the proposal and the date are 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 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 include the contractor name, the proposal number, and the date prepared.

a. Facility requirements. If execution of the 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 function: 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. Provide 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. Present 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. Relationship to Other Projects. Provide a description of any relationships, interrelationships or dependencies which the proposal has with other known Federally-funded projects.

i. NEPA Considerations. 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 and NEPA documentation that must be prepared.

j. Milestones (if applicable). A detailed explanation of the milestones presented 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 in 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 ES&H hazards arising from performance of the proposed work and mitigating actions to protect the workers, public and the environment.

n. Human/Animal Subjects Research. Briefly 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.

C. Page 2 of the 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 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 17.** Designate personnel staffing in full time equivalent person-years. Enter the numbers of scientific and other direct person-years for all columns.

**Item 18.** Enter estimates for total obligations and total costs 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.

**Item 20.** 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 "Proposed BY" column. The dates (MO/YR) on which the tasks are projected for start and completion should be entered in the "Proposed 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 required for the proposed work to include a description and frequency for each report.

CALENDAR YEAR THAT DOE PREPARED BUDGET (BY)

	2000	2001	2002	2003
BY-3 FY 1999	FY 2000	FY 2001	FY 2002	
BY-2 FY 2000	FY 2001	FY 2002	FY 2003	
BY-1 FY 2001	FY 2002	FY 2003	FY 2004	
BY	FY 2002	FY 2003	FY 2004	FY 2005
	2001	2002	2003	2004

CALENDAR YEAR THE CONGRESS CONSIDERS BUDGET (BY)