

# Proposal & Work Authorization Approval

Effective Date: 11/15/03

Point of Contact: Julie Turner, 372-4015, PD

*Last Updated: 3/31/06*

## Applicability

This procedure applies to the Pacific Northwest Site Office (PNSO) staff who review and approve contractor proposals/plans and work authorization documents to include: Work Authorization Statements (WASs), program guidance, Inter-Entity Contractor Procurement/Work Request (ICP), and Intragovernmental Payment and Collection (IPAC) Transfer Authorizations.

The technical review for Work For Others and Department of Homeland Security Proposals and Requests for Services (RFS) is done in accordance with the PNSO Work for Others Procedure.

## Requirements

In support of the Office of Science Roles and Responsibilities the Site Office provides work authorization to the contractor for DOE, other federal agencies and non federal entities. The Work Authorization Management System provides the processes, tools, and analyses that support the Site Office in ensuring that all applicable work authorization requirements have been satisfied prior to authorizing the contractor to proceed. This system also provides the tools to track and retain documents and measure site office performance as the documents flow through the authorization process. Authorization of work is conducted in accordance with the terms and conditions of the PNNL contract (DE-AC06-76RL01830), the PNSO Management System, this Procedure, the PNSO Work For Others Procedure, and is consistent with DOE O 412.1A, Work Authorization System, DOE P 226.1, Department of Energy Oversight Policy, DOE O 226.1, Implementation of Department of Energy Oversight Policy, DOE O 481.1B, Work For Others (Non-Department of Energy Funded Work), and DOE N 481.1A, Reimbursable Work for the Department of Homeland Security.

## Procedure 1.0: Proposal

Step #	Description	Performer	Support
<b>Step 1</b>	<p>Receive call for proposals from DOE Program Office/others and forward to contractor for action.</p> <p><i>Note: This step may not occur in the event of an unsolicited proposal submitted by the contractor or off-cycle proposals not part of the Unicall process.</i></p> <p><i>Note: For proposals submitted as part of the Unified Field Budget Call (Unicall) this process (steps 1 – 6) will be coordinated by the Unicall Coordinator (February - April timeframe). See OakRidge Operations Office (ORO) Order 130.</i></p>	Manager	Correspondence Control (CC) Staff Budget Analyst
<b>Step 2</b>	<p>Receive proposal from contractor.</p> <p><i>Note: In some cases this step may be bypassed if PNNL submits the proposal/plan directly to headquarters (ie: classified proposals or headquarters offices don't require a field office review of proposals prior to submittal). This work will be informally reviewed using the same criteria identified in Steps 3 – 4.</i></p>	Manager Budget Analyst	CC
<b>Step 3</b>	Scan into Document Manager (DM) and assign action to secretary (not applicable to proposals received via ePME).	CC	Secretary Staff
<b>Step 4</b>	<p>Provide a hard copy of proposal/plan to appropriate staff.</p> <p>Draft cover memo, obtain concurrences and log into proposal database. Close action from CC. (Not applicable to proposals received via ePME)</p>	Secretary	
<b>Step 5</b>	<p>Review the proposal to ensure that:</p> <ol style="list-style-type: none"> <li>1. The work proposal is consistent with program and other guidance.</li> <li>2. appropriate for performance by the contractor.</li> <li>3. The work is not inappropriately duplicative of other ongoing work.</li> <li>4. The work is within the mission of the contractor.</li> <li>5. The work is within the scope and general levels of efforts agreed upon within the institutional plan.</li> <li>6. Work does not violate congressional language, existing laws and regulations currently applicable to the contract.</li> </ol>	Staff	Budget Analyst CO WFO COR

<b>Step 6</b>	<p>Review contractor Electronic Prep &amp; Risk (EPR) form to verify that, at a minimum, the Product Line Manager has signed the EPR and either the Product Line Manager or Project Manager has signed the EPR form within the last 12 months. (PNNL SBMS)</p> <p><i>Note: This verification provides a level of assurance that the contractor has reviewed the proposed work and has accepted the risks associated with it. Review of the EPR also provides staff information that may be useful in identifying risks/hazards of interest to them or a Subject Matter Expert(SME)/Facility Representative (FR).</i></p> <p><i>The EPR system and active EPR's are reviewed through the oversight conducted by the Site Office.</i></p> <p><i>The EPR is a PNNL maintained system and accessed through the PNNL system.</i></p>	Staff	<p>SME FR</p> <p>Project Management Management System POC</p> <p>Integrated Safety Management Management System POC</p>
<b>Step 7</b>	<p>Based on the review conducted in steps 5 and 6 and through oversight conducted in accordance with the PNSO Performance Assurance procedure, obtain input from the SME/FR for work where there are questions or concerns.</p>	Staff	SME FR
<b>Step 8</b>	<p>Upon review and resolution and/or incorporation of any comments, sign proposal, forward to secretary and concur on cover memo transmitting proposal to program office.</p> <p><i>Note: If disapproved, provide back to contractor for revision.</i></p>	Staff	Secretary
<b>Step 9</b>	<p>Log out of proposal database, scan into DM, and transmit to DOE Program Office/other for consideration.</p>	Secretary CC	

## Suggested Guidelines

N/A

## Requirements

PNNL Contract DE-AC06-76RL01830

PNSO Work For Others Procedure

DOE O 412.1A, Work Authorization System

DOE P 226.1, Department of Energy Oversight Policy

DOE O 226.1, Implementation of Department of Energy Oversight Policy

DOE O 481.1B, Work For Others (Non-Department of Energy Funded Work)

DOE N 481.1A, Reimbursable Work For The Department of Homeland Security

DEAR 970.5204-15, Obligation of Funds (April 1994, Modification)  
OakRidge Operations Office Order 130

## Procedure 2.0: Work Authorization

Step #	Description	Performer	Support
<b>Step 1</b>	<p>All work authorized or de-authorized must be documented in a work authorization.</p> <p>If aware of work starting or ongoing without appropriate authorization as outlined in this process or in accordance with DOE O 412.1A, Work Authorization System, notify the contracting officer (CO)/contracting officer representative (COR) and take appropriate action.</p> <p><i>Note:</i> Contractor work is not authorized to commence until the contractor receives both funding (via a contract modification or direction from the CO) and the related work authorization guidance signed by the DOE COR/CO.</p>	Staff	CO/COR Budget Analyst
<b>Step 2</b>	<p>Receive Work Authorization (WA)/Guidance (WAS, ICP, IPAC, RFS, Guidance letters, etc.) from the DOE Program Office/other (mail, fax, or preferably electronic).</p> <p>When delegated program managers' responsibilities and authorities (e.g., assignment of tasks and/or distribution of funds to contractors under their cognizance) by a program office, PNSO staff will prepare and issue the work authorization.</p> <p><i>Note: WA should be transmitted to the field promptly after submission of the AFP to the Chief Financial Officer. (DOE O 412.1A) Staff should actively seek WA's when funding is identified in the Approved Funding Program (AFP) and no work authorization has been received.</i></p>	Manager	Budget Analyst Secretary CC Staff
<b>Step 3</b>	Date stamp receipt of the WA document, scan into DM, and make electronic distribution to the secretary, Budget Analyst, appropriate staff and Contractor Budget Office.	CC	Staff Budget Analyst Secretary
<b>Step 4</b>	Enter WA info into data base and provide hard copy to appropriate staff.	Secretary	

<p><b>Step 5</b></p>	<p>Review the WA document to ensure that:</p> <ol style="list-style-type: none"> <li>1. The work is within the contracting officer's representative's (COR's) delegated authority</li> <li>2. The work is appropriate for performance by the contractor.</li> <li>3. The work is not duplicative of other ongoing work under the contractor's responsibility.</li> <li>4. The work is within the mission of the contractor (consistent w/Section C of the 1830 Contract).</li> <li>5. The work is within the scope and general levels of efforts agreed upon within the Contractor's Work Plan/SC Business plan.</li> <li>6. The documentation provided with the WA and the requirements stipulated are adequate. See Exhibit 1.</li> <li>7. Work does not violate congressional language, existing laws and regulations currently applicable to the contract.</li> <li>8. Work is authorize/de-authorize in accordance with the approved funding program, programmatic guidance, and established procedures for administrative control of funds. See the ORO O 410.</li> </ol> <p><i>Note: Work authorizations for new projects or projects with significant scope change should be reviewed with more rigor than those projects which are ongoing and have consistent scope/hazards. Notify SME/FR as appropriate.</i></p>	<p>Staff</p>	<p>Budget Analyst CO</p>
----------------------	--	--------------	------------------------------

<b>Step 6</b>	<p>Review contractor Electronic Prep &amp; Risk (EPR) form to verify that:</p> <ol style="list-style-type: none"> <li>1. at a minimum, the Product Line Manager has signed the EPR and either the Product Line Manager or the Project Manager has signed the EPR form within the last 12 months. (PNNL SBMS)</li> <li>2. The work performed by contractors does not violate constraints on use of DOE-controlled facilities and is carried out in a manner that protects the workers, the public, and the environment against ES&amp;H hazards and safeguards and security risks arising from the performance of contract work.</li> </ol> <p><i>Note: This verification provides a level of assurance that the contractor has reviewed the proposed work and has accepted the risks associated with it. Review of the EPR also provides staff information that may be useful in identifying risks/hazards of interest to them and/or a Subject Matter Expert(SME)/Facility Representative (FR).</i></p> <p><i>The EPR system and active EPR's are periodically reviewed through oversight conducted by the site office.</i></p> <p><i>The EPR is a PNNL maintained system and accessed through a PNNL system.</i></p>	Staff	<p>SME FR</p> <p>Project Management Management System POC</p> <p>ISM Management System POC</p>
<b>Step 7</b>	<p>Based on the review conducted in steps 5 and 6 and through oversight conducted in accordance with the PNSO Performance Assurance procedure, obtain input from the SME/FR for work where there are questions or concerns.</p>	Staff	SME FR
<b>Step 8</b>	<p>If <b>concur</b> with the WA, initial at "Operations Office Official" signature block.</p> <p>If <b>non-concur</b> with the WA, mark work authorization form with "Not Accepted" and provide justification to DOE Program Office (ie: Fax, email, letter/memo, etc.). A copy of this information should also be provided to the Budget Representative and coordinated with the contractor.</p>	Staff	SME Budget Analyst
<b>Step 9</b>	<p>Provide WA and backup documents to the secretary.</p>	Staff	
<b>Step 10</b>	<p>Forward WA concurred on by staff to COR.</p>	Secretary	Staff
<b>Step 11</b>	<p>Sign WA and forward to secretary.</p>	COR or CO	Staff

<b>Step 12</b>	Log signed and non-concurred work authorizations out of database. Scan signed WA into DM and distribute to the contractor for acceptance of work (DM documents). Scan non-concurred WA into DM.  <i>Note: Approval/disapproval of work authorizations should be made within 5 working days.</i>	Secretary CC	
<b>Step 13</b>	Receive signed WA from the contractor as evidence of acceptance of the work authorization. Log fully executed WA into database and scan into DM.  <i>Note: The contractor also sends a fully signed copy to DOE Program/other.</i>	Secretary CC	

## Suggested Guidelines

- Memorandum for Manager, Richland Operations Office, from Bruce M. Carnes, Director, Office of Management, Budget and Evaluation/Chief Financial Officer, Subject “Elimination of Weapons-Grade Plutonium Production Program,” dated December 4, 2002.

## Requirements

PNNL Contract DE-AC06-76RL01830

PNSO Work For Others Procedure

DOE O 412.1A, Work Authorization System

DOE P 450.4, Safety Management System Policy

DOE P 450.5, Line Environment, Safety and Health Oversight

DOE O 481.1B, Work For Others (Non-Department of Energy Funded Work)

DOE N 481.1A, Reimbursable Work For The Department of Homeland Security

DEAR 970.5204-15, Obligation of Funds (April 1994, Modification)

OakRidge Operaitons Office Order 410, ????

## Procedure 3.0: De-Authorization of Work

Step #	Description	Performer	Support
Step 1	Program Secretarial Office(PSO) requests confirmation from the Oak Ridge Service Center that funds are available for withdrawal.	Manager	Correspondence Control (CC) Staff Budget Analyst
Step 2	ORO emails " <i>Certification of Funds Available for Withdrawal</i> " (Exhibit 3) to PNNL for review and approval.	ORO Budget Analyst	
Step 3	Upon concurrence, PNNL will send electronic notification to appropriate PNSO staff.	CC	Secretary Staff
Step 4	PNSO will send electronic concurrence/non-concurrence to ORO budget staff w/copy to PNNL.  <i>Note: No formal tracking/storage of this info by PNSO is necessary.</i>	Staff	
Step 5	ORO responds to PSO who will follow up with a formal WA de-authorizing work. Processing WA de-authorizing work should be done in accordance with applicable steps in procedure 2, Work Authorization.	Staff	Budget Analyst CO WFO COR

### Suggested Guidelines

- Memorandum for Manager, Richland Operations Office, from Bruce M. Carnes, Director, Office of Management, Budget and Evaluation/Chief Financial Officer, Subject "Elimination of Weapons-Grade Plutonium Production Program," dated December 4, 2002.

### Requirements

PNNL Contract DE-AC06-76RL01830  
PNSO Work For Others Procedure  
DOE O 412.1A, Work Authorization System  
DOE P 450.4, Safety Management System Policy  
DOE P 450.5, Line Environment, Safety and Health Oversight  
DOE O 481.1B, Work For Others (Non-Department of Energy Funded Work)  
DOE N 481.1A, Reimbursable Work For The Department of Homeland Security  
DEAR 970.5204-15, Obligation of Funds (April 1994, Modification)

## Exhibit 1: Work Authorization Information Requirements

At a minimum, each work authorization will contain the following information:

- (1) Project Title and reference to work proposal number, if applicable;
- (2) Headquarters programmatic point of contact, organization and telephone number;
- (3) Headquarters budget point of contact, organization code, and telephone number;
- (4) Responsible program;
- (5) Responsible Program Secretarial Officer;
- (6) Responsible field organization;
- (7) Responsible contracting officer if different from (6) above;
- (8) site/facility management contractor name, point of contact, and telephone number;
- (9) Work authorization number, with revision number if applicable.
- (10) Budget and reporting code and funding level;
- (11) dates for performance period, work start, and work completion;
- (12) statement of work
  - a. Detailed statement of work to be performed or reference to a work proposal, project plan, or similar document describing the scope of work in detail;
  - b. Required milestone dates;
  - c. deliverables, including technical information as required by Order 241.1A, Scientific and Technical Information Management, dated 4-9-01; and
  - d. associated performance-based indicators/targets consistent with DOE G 120.1-5, Guidelines for Performance Measurement, dated 6-30-96, and any additional guidance that will assist the contractor in the performance of the work.
- (13) reporting requirements, including (a) project management or status reports and (b) 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); and
- (14) Headquarters, field organization, contractor, and if involving changes to scope, schedule, or funding , contracting officer signature blocks.

## Document Approval Form

**1. Document Type:**

- Guiding Document       Planning Document       Procedure  
 Other (describe): \_\_\_\_\_

**2. Document Title:** Proposal & Work Authorization Approval

**3. Document Number** (obtain # from PNSO Document Coordinator): PNSO-PCDR-03

**4. Brief explanation and justification** (explain purpose of new document, revision, or cancellation):

Procedure was revised to incorporate changes w/respect to a revision to DOE O 412.1A and general changes associated with the transition from RL to SC.

**5. Request submitted by:**

Julie K. Turner

Name (Print)

*Julie K. Turner*

Signature

3/31/06

Date

**6. Requirement document(s):** Does a requirement (or requirements) drive this document? If so, please specify (e.g., legal requirement, R2A2, directive, etc.)

- Yes    Please specify: Implementation of DOE O 412.1A and R2A2's  
 No

**7. Actions identified for document implementation:**

- "awareness or briefing approach (classroom training, all-hands-staff meetings, one-on-one, computer based, self-study)  
 revisions to other processes and procedures, program descriptions, or other documents  
 other, explain: \_\_\_\_\_

**8. Representative user concurrence:**

Dave Biancosino

Name (Print)

*Dave Biancosino*

Signature

3/31/06

Date

**Note:** A representative user's concurrence is not necessary for minor revisions or cancellations.

**9. Division Director concurrence**

Roger F. Christensen

Name (Print)

*RFC Christensen*

Signature

3/31/06

Date

Debbie E. Trader

Name (Print)

for *Julie K. Turner*

Signature

3/31/06

Date

**Note:** Concurrence is required by any Division Director who will be subject to requirements contained in the document.

**10. PNSO Site Office Manager approval:**

Paul W. Kruger

Name (Print)

*Paul W. Kruger*

Signature

3/31/06

Date

**Note:** Signature approves this document for deployment on the PNSO internal portal.