

SUPPLEMENTAL DIRECTIVE

NNSA SD 412.1

Approved: 1-18-17

WORK AUTHORIZATIONS



NATIONAL NUCLEAR SECURITY ADMINISTRATION Office of Acquisition and Project Management

CONTROLLED DOCUMENT

OFFICE OF PRIMARY INTEREST (OPI):

AVAILABLE ONLINE AT:

Office of Acquisition Management

<https://nnsa.energy.gov/aboutus/ouoperations/managementandbudget/supplementaldirectives>

printed copies are uncontrolled

THIS PAGE INTENTIONALLY LEFT BLANK

WORK AUTHORIZATIONS

1. **PURPOSE.** To supplement Department of Energy (DOE) Order 412.1A, Chg 1, *Work Authorization (WA) System*, for the purpose of establishing procedures to administer National Nuclear Security Administration (NNSA)-sponsored work authorizations with greater efficiency.
 - a. Identify the required WA processes, including the necessary formats;
 - b. Identify review and approval authorities for WAs; and
 - c. Establish internal controls necessary to safeguard change control and ensure consistency.
 - d. Any inconsistency in this supplemental directive (SD) must be resolved in the following order of priority:
 - (1) The contract schedule.
 - (2) Contract clauses.
 - (3) DOE Order 412.1A, Chg 1 and DOE Orders as applicable.
2. **CANCELLATION.** All policy related to Work Authorizations in Business Operating Procedure (BOP)-001.331, *Budget Execution Headquarters Approved Funding Program (HQ/AFP) and Work Authorization (WA) Business Operation Policy*, dated 2-15-08. AFP requirements in this BOP are not cancelled.
3. **APPLICABILITY.**
 - a. **Federal.** The provisions of this directive apply to all NNSA programs and NNSA-funded work. This directive replaces the previous WA process that was linked to the AFP process.
 - b. **Contractors.** Does not apply to contractors.
 - c. **Equivalency.** In accordance with the responsibilities and authorities assigned by Executive Order 12344, codified at 50 United States Code sections 2406 and 2511, and to ensure consistency throughout the joint Navy/DOE Naval Nuclear Propulsion Program, the Deputy Administrator for Naval Reactors (Director) will implement and oversee requirements and practices pertaining to this Supplemental Directive for activities under the Director's cognizance, as deemed appropriate.
 - d. **Exemption.** Consistent with DOE Order 412.1A Chg 1: work involving Strategic Partnership Projects, 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) are excluded from the requirements of this supplemental directive.

4. SUMMARY OF CHANGES. This SD only addresses and supplements WA requirements described in DOE Order 412.1A. It cancels the WA requirements in BOP-001.331.
5. BACKGROUND. Department of Energy Acquisition Regulation (DEAR) 970.1170-1 states, “each contract for the management and operation of a DOE site or facility, and other contracts designated by the DOE or the National Nuclear Security Administration (NNSA) Senior Procurement Executive, must contain a scope of work section that describes, in general terms, work planned and/or required to be performed. Work to be performed under the contract must be assigned through the use of a work authorization to control individual work activities performed within the scope of work. Work authorizations must be issued prior to the commencement of the work and incurrence of any costs.” In order to adequately capture the scope of work to be completed, the WA is integrated with the annual implementation plan (IP) and conforms to acquisition regulations and policies. The annual performance-based IP will serve as the statement of work and will be attached to the WA; the WA and attached IP are referred to as “WA” throughout the remainder of this document.
6. REQUIREMENTS. In accordance with DEAR 970.5211-1, WAs must be approved by the Contracting Officer (CO) *prior to the commencement of the work and incurrence of any cost.* Therefore, WAs must be generated and issued to the contractor before the start of the fiscal year (FY) or as early in the FY as possible, subject to programmatic needs. In the event that one or more parties do not approve of the scope of work, schedule, and estimated cost requirements identified in the WA, the parties must find a resolution. All changes must be made using a formal change control process that is the same as the generation and distribution process of the initial WA. Revisions should be initiated and authorized as quickly as possible once a change has been identified. In the case of new work requirements identified during the course of the FY, WAs must be generated or revised as soon as the requirement is identified, accepted by the contractor(s), and approved by the CO prior to the commencement of the work and incurrence of any cost.

If operating under a Continuing Resolution (CR) at the start of the FY, the WA will be issued to align with the Department’s Base Table. Within 30 calendar days of final appropriation or full-year CR enactment, the WA must be updated to reflect any necessary change(s) in scope, schedule, or estimated cost (price if a fixed price WA) to align with the signed enactment.

All WAs and revisions thereto must be reviewed and accepted by all responsible parties as outlined in the process map at Appendix 2. Signatures are required by the Program Manager (IP only), the contractor (WA only), and the cognizant CO (WA only) to be considered fully executed. A formal, authorized contractor signature on the WA indicates agreement on the WA and responsibility for performance of all related work within the terms and conditions of the contract, including satisfying all relevant legal, regulatory, integrated safety management (ISM), integrated safeguards and security

management (ISSM), and quality assurance requirements. The CO's signature on both the WA and the associated funding modification indicates authorization to begin work.

- a. WAs must be generated using the required templates and guidance (see Appendix 1), to ensure consistency across NNSA programs. **Note:** Detailed instructions for the WA template are not included with this directive and may be provided separately, in conformance with the requirements of this directive.
 - (1) Changes within the scope of an existing WA/IP do not warrant a new WA or modification to an existing WA. These changes must be issued in writing via technical direction to the contractor by an authorized Contracting Officer's Representative (COR), with an informational courtesy copy to the CO and Management and Budget (NA-MB). Program offices have discretion in determining the most efficient means for routing technical direction within the NNSA and to the contractor. COs are required to sign WAs, but are not expected to approve technical direction. The COR's technical direction must provide sufficient detail to clearly articulate the expectations of the work to be performed.
 - (2) WAs must be consistent with performance-based contracting requirements and cascade from the goals, objectives, strategies, and performance measures reported in the NNSA Strategic Plans, the Future Years Nuclear Security Program (FYNSP), work plans, and other guidance specifically identified.
 - (3) WAs must include an implementation plan that will serve as the statement of work and will describe, at a minimum, a general description of the work to be performed with specific milestones and deliverables. Where specific information is not included in the work authorization's attached implementation plan, more specific project plans, operating plans, or similar documents that describe the scope of work and deliverables or performance measures and expectations must be referenced. All documents referenced in the WA must be made available to contractors, cognizant COs, and CORs upon request.
 - (4) At a minimum, performance expectations, such as a general description of requirements, estimated cost (price if a fixed price WA), metrics, specific deliverables or interim milestones, and associated periods of performance must be included in the WA, with similar or related work being aggregated to the highest appropriate level (e.g., budget activity, work package, etc.).
 - (5) The scope of work contained in WAs must be consistent with the Department's Base Table when under a CR and with the final appropriation or full-year CR once enacted.

- (6) The estimated cost contained in the WA must not exceed the Department's Base Table when under a CR and the final appropriation or full-year CR once enacted.
- b. WAs that crosscut multiple programs must be reviewed by the responsible program offices to ensure that all programmatic interdependencies have been appropriately reflected.
- c. WAs must be reviewed to ensure:
 - (1) Programmatic execution guidance is adequate and appropriately communicated.
 - (2) Estimated cost (price if a fixed price WA) does not exceed Department's Base Table and the final appropriation or full-year CR once enacted.
 - (3) Full compliance with acquisition regulation, policy, and the terms and conditions of the contract.
- d. All WAs and revisions thereto must be reviewed by the responsible program and field offices prior to review and signature by the authorized contractor official and cognizant CO. The CO's signature is the final signature and authorizes work to begin.
- e. Revisions to WAs must be issued whenever there is a change resulting in an increase to the previously approved estimated cost (price if a fixed price WA) and for other changes as determined by the Program/Project Manager.

7. RESPONSIBILITIES.

- a. Office of Acquisition and Project Management (NA-APM), Management and Operating (M&O) Oversight and Policy Office Branch (MOPOB) must:
 - (1) Provide guidance and coordination to facilitate the preparation of WAs and any revisions thereto;
 - (2) Assist in the resolution of issues relating to the WA; and
 - (3) Conduct random reviews of WAs for quality control, including compliance with regulation and policy. NA-APM reserves the option to review all WAs for compliance at any time.
- b. The responsible NNSA program office must:
 - (1) Develop initial and subsequent WA/IP in accordance with this SD and applicable requirements;

- (2) Send NA-MB funding changes by site, including a high-level description of those funding changes;
 - (3) Issue WA to field CO and NA-APM WA Request Mailbox, signed by HQ Program/Project Manager;
 - (4) Issue technical direction in writing through an authorized COR, as appropriate;
 - (5) Work jointly with COs and contractors to resolve questions or concerns regarding scope of work, schedule, and associated estimated cost (price if a fixed price WA) for each WA;
 - (6) Provide additional programmatic information when requested to review and approve WAs;
 - (7) Ensure the estimated cost does not exceed the Department's Base Table plus carry over when under a CR or the final appropriation or full-year CR once enacted; and
 - (8) Coordinate with CO and other internal stakeholders to ensure the work is completed within the negotiated cost (price if fixed price WA).
- c. Management and Budget (NA-MB) must:
- (1) Review AFP input and funding changes from program office;
 - (2) Input values and funding changes into financial system (i.e., funds distribution system (FDS));
 - (3) Confirm funding information with program office; and
 - (4) Issue AFP to field office.
 - (5) Twice a year, NA-MB will compare the estimated cost identified in work authorizations with actual funding levels and provide a report to the Management Council or the Deputies working group.
- d. The cognizant Contracting Officers must:
- (1) Work jointly with the Program/Project Officers and contractors to reach agreement on an acceptable scope, cost (price if a fixed price WA), and schedule for each WA;
 - (2) Review and sign the proposed WA for each contract under their cognizance to ensure work is appropriate for performance by the contractor and is within the contracted scope;

- (3) Ensure that the contractor signs the WA within the required schedule;
- (4) Ensure that the government has funds available and obligates those funds through a formal contract funding modification or through a formal incremental funding modification for the authorized work;
- (5) Ensure the work is completed within the negotiated cost (price if fixed price WA);
- (6) Send WA to M&O contractor for signature;
- (7) Distribute fully executed WA to program, NA-MB, and WA mailbox; and
- (8) Serve as the primary point of contact for questions or issues concerning the WA.

8. REFERENCES.

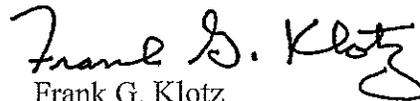
- a. DEAR 970.1170-1 Work Authorization
- b. DEAR 970.5211-1 Work Authorization
- c. DOE Order 412.1A Admin Chg 1, *Work Authorization System*, dated 5-21-14.

9. DEFINITIONS.

- a. Approved Funding Program (AFP): A process that distributes funding for obligation through contract funding modifications.
- b. Contracting Officer (CO): The person authorized to commit or obligate the government, and sign work authorizations and changes to those work authorizations.
- c. Contracting Officer's Representative (COR): Receives delegation of authority from the CO. This individual can give technical direction within the scope of work, cost, and schedule of a work authorization. This individual is not authorized to make any commitments or obligations on behalf of the government, and may not grant the contractor permission to deviate from the requirements stated in the work authorization, nor direct the contractor to perform any work outside that stated in the work authorization.
- d. Implementation Plan (IP): The program document that describes the scope of work to be performed under the work authorization. It is attached to the WA and serves as the statement of work for the work authorization.
- e. Technical Direction: Written direction to the contractor within the scope of work, estimated cost, and schedule of the work authorization by an authorized COR.

- f. **Work Authorization (WA):** The document, approved by a CO, that describes the scope of work, estimated cost, and schedule of work activities performed within the larger contract scope of work. Work authorizations must be issued prior to the commencement of the work and incurrence of any costs.
10. **CONTACT.** Office of Acquisition Management (NA-APM-10), M&O Policy and Oversight Branch, 202-586-8069.

BY ORDER OF THE ADMINISTRATOR:


Frank G. Klotz
Administrator

Appendixes:

1. Work Authorization Templates
2. Work Authorization Process Map

THIS PAGE INTENTIONALLY LEFT BLANK

APPENDIX 1: WORK AUTHORIZATION TEMPLATES

WORK AUTHORIZATION TEMPLATE (COST REIMBURSEMENT)AP1-2
WORK AUTHORIZATION TEMPLATE (FIRM-FIXED-PRICE).....AP1-13

WORK AUTHORIZATION TEMPLATE (COST REIMBURSEMENT)

National Nuclear Security Administration (NNSA)
Office Name
Program Name
Fiscal Year 20XX Work Authorization
[insert Work Authorization title]

M&O Site/Contractor:

Work Authorization No: XXXXXX

Revision No: 0X

Period of Performance:

Start Date	Completion Date	Revised Completion Date	Date of Revision

The following table provides estimated costs for the period of performance.

Fund Type	B&R No.	Estimated Cost		
		Current	Change	Revised Authorization
		\$	\$	\$

1.0 Scope

The Contractor shall, in accordance with the terms of the prime Contract and this Work Authorization (WA), provide the personnel, equipment, materials, supplies, and services, (except as may be furnished by the Government) and otherwise do all things necessary for, or incidental to execute the requirements described in this WA to include meeting the specific milestones, and providing the specific deliverables as described in the Implementation Plan, (which serves as the WA Statement of Work) Attachment 1, of this Work Authorization, "Program Name FY20XX Implementation Plan & Work Authorization" at M&O Name. This Work Authorization is incorporated into the prime contract in accordance with DEAR 970.5211-1 "Work Authorization."

2.0 Changes

This Work Authorization and any subsequent changes shall be executed in accordance with the Federal Acquisition Regulation and all other contract terms and conditions. In accordance with DEAR 970.5211-1, the Contractor shall notify the Contracting Officer immediately whenever the cost incurred plus the projected cost to complete the work outlined in this Work Authorization is projected to differ (plus or minus) from the estimated cost by 10 percent. Changes to the work scope, schedule, or estimated cost as specified in the attached Implementation Plan must be issued via a Work Authorization revision signed and issued by the Contracting Officer as required by DEAR 970.5211-1, DOE O 412.1A, and NNSA SD 412.1.

3.0 Agreements

No work shall commence until this Work Authorization is approved by the Contracting Officer. The Contractor signature is a commitment that all Integrated Safety Management (ISM), Integrated Safeguards and Security Management (ISSM), and quality assurance requirements have been met, and that auditable records and files on this project are available for review. Funding for this work will be obligated through a funding modification issued by the Contracting Officer as specified in the most recent Approved Funding Program (AFP).

4.0 DEAR 970.5232-4 Obligation of Funds, flow down to Work Authorizations

This contract clause is hereby flowed down to this Work Authorization. The contractor shall segregate, allocate, and account for all costs incurred under this specific WA. Such cost data must be made available to the contracting officer upon request. In addition, the contractor must notify the contracting officer, in writing, when they recognize that they will exceed the estimated cost by 10%, insufficient actual and expected funding is available to continue work, or if their actual funding is insufficient to operate until further expected funding.

Contractor <i>[Insert authorized individual Title Phone number email]</i>	<i>[signature]</i>	Date:
Contracting Officer <i>[insert name Title Phone number email]</i>	<i>[signature]</i>	Date:

<PROGRAM/PROJECT NAME>

IMPLEMENTATION PLAN (Statement of Work)

Version <1.0>

<mm/dd/yyyy>

VERSION HISTORY

Version #	Implemented By	Revision Date	Approved By	Approval Date	Reason
1.0	<i>Author name</i>	<i>mm/dd/yy</i>	<i>name</i>	<i>mm/dd/yy</i>	<i><reason></i>

Table of Contents

I.	OVERVIEW [REQUIRED]	7
II.	CORPORATE PROGRAM GOAL(S) [REQUIRED]	7
III.	MAJOR ACTIVITIES [REQUIRED]	7
IV.	FUNDING GUIDANCE [REQUIRED]	7
V.	DESCRIPTION OF PLANNED ACTIVITIES [REQUIRED]	8
VI.	REPORTING REQUIREMENTS [REQUIRED]	9
VII.	KEY EXECUTION YEAR REFERENCE DOCUMENTS [REQUIRED].....	9
VIII.	MAJOR RISKS AND HANDLING STRATEGIES [OPTIONAL]	9
IX.	POINTS OF CONTACT [REQUIRED]	9
X.	APPROVALS	11
	APPENDIX A: KEY TERMS [OPTIONAL]	12

I. Overview [Required]

This section:

- Describes the purpose of the program/project and is sourced by the most recent Congressional Budget Request
- Provides clear strategic alignment for the program/project to the most current DOE and NNSA Strategic Plans by strategic goal and objective.

Optional: A table is optional in this subsection if the Work Authorization (WA) supports multiple strategic objectives.

Required boilerplate language: “Specific work activities and scope contained herein are consistent with: 1) the Department’s Base Table when operating under a Continuing Resolution (CR); and 2) the final appropriation or full-year CR once enacted.”

II. Corporate Program Goal(s) [Required]

This section is required by *GPR Modernization Act* of 2010. Information to include: Program Name, Performance Measure/Indicator Title and Description, Fiscal Year Target and, where applicable, End Point Target. **Source:** Most current Congressional Budget Request performance table(s).

Program or Project Name	Performance Measure/Indicator Title and Description	FY201X Target	Endpoint Target

Required boilerplate language “Preliminary targets are subject to change based on a final, enacted budget.”

III. Major Activities [Required]

This section provides a description of the program/project major activities that are not site-specific, but general program priorities during the period of performance. These major activities are traceable to the most current Congressional Budget Request.

IV. Funding Guidance [Required]

This section describes Program and Fiscal Guidance; such as including the estimated cost for each M&O Contractor. The table below (or some variation as directed by NA-APM) must be completed for inclusion in the WA.

Program/OCL	President’s FY20XX Budget Request	FY20XX CR Operating Target	FY20XX Enacted/Full-Year CR	Difference between Request vs. Enacted

The initial estimated cost is equal to the Department's Base Table and should reflect 100% completion of the work activities as described in Section V, Description of Planned Activities. Once an appropriation or full-year CR is enacted the estimated cost should be updated to reflect any updates to the scope of work.

Required language: "To support the scope of work contained in this Work Authorization (WA), funding will be distributed through the existing Approved Funding Program (AFP) process described in DOE Order 135.1A and NNSA BOP 001.331, or successor Order/BOP, as applicable. The AFP is adjusted on an as needed basis for the execution of congressionally approved programs, projects, or activities (PPAs). Specific work activities are authorized via this document, with incremental funding plans for each site authorized via the AFP and obligated via formal contract modification. The work contained herein will be funded on an incremental basis. The contractor is authorized to expend up to the dollar amount indicated in the Program/OCL funding table or as otherwise noted in the AFP allotment, whichever is less, and subject to the availability of funds in the M&O contract. Note: As indicated in Section 4.0, the contractor is required to notify the contracting officer, in writing, when they recognize that they will exceed the estimated cost by 10%, insufficient actual and expected funding is available to continue work, or if their actual funding is insufficient to operate until further expected funding"

V. Description of Planned Activities [Required]

This subsection provides the information referenced under the Scope Section of the WA cover sheet and should be in sufficient detail to meet the requirements of DEAR 970.5211-1. At a minimum, the planned activities should replicate the Congressional Budget Request (budget narrative), should be written to the site-specific level, and should include: a general description of the work, primary deliverables and/or performance expectations, and schedule of key deliverables as shown in the table below or a specific reference where the work and estimated cost information can be found.

Required language: "The purpose of this WA is to outline key work requirements to be performed and to control individual work activities within the scope of work. Contractors may not deviate from this plan without a revised WA."

Required language (for NNSA M&O Contracts only): "Annual performance expectations for each M&O contractor outlined in this document will be considered in determining the contractor's performance rating and fee earned through the NNSA Corporate Performance Evaluation Process (CPEP)."

Note: The level of detail should provide sufficient information to the site to enable mission execution at a level of performance needed to support the appropriate CPEP evaluation requirements.

Note: If the type of work is considered a level of effort (LOE), performance criteria can be either quantitative or qualitative, yet it must be measurable. It is appropriate to think of

criteria as “entry” and “exit” criteria that supports mission accomplishment of deliverables. Exit criteria should reflect what must be done to clearly ascertain if the event has been successfully completed. The Implementation Plan/Work Authorization includes the approval of work at designated site(s).

VI. Reporting Requirements [Required]

This subsection should contain sufficient detail on any applicable reporting expectations or include reference to applicable document(s) with detailed reporting expectations.

Examples:

- All sites (M&Os and non-M&Os) must report cost data at the project level on or before the 10th day of the month.
- Monthly performance reporting for completed activities is required on or before the 5th workday of the month.

VII. Key Execution Year Reference Documents [Required]

Required language: “The following documents are incorporated by reference:”

This subsection is in bullet format and should include key execution year reference documents, which may include, but are not limited to:

- **X Strategic Plan** (Month, Year)
- **X Integrated Master Plan and Integrated Master Schedule**
- **X Program Management Plan (PMP)** (Month, Year, Version)
- **Portfolio Work Plans (PWPs)**
- **Approved Funding Program Explanation of Changes (AFP)** and regular monthly financial plan adjustments.
- **Other** (references to detailed Statements of Work (SOW), work proposals, project plans or similar documents).

VIII. Major Risks and Handling Strategies [Optional]

This subsection can be used to outline programmatic risk associated with the authorized scope. If needed, the Program should provide details here that will help manage expectations to ensure accomplishment of mission scope and deliverables absent of unanticipated barriers or reference a document that discusses risk management (e.g. PMP).

IX. Points of Contact [Required]

This subsection identifies responsible organization(s), titles, and telephone numbers of the staff who serve as key implementation points of contact. These contacts should include the HQ Federal Program Manager, Project Manager, or other managers and representatives with responsibilities related to implementation. If the applicable team members are listed in the Project Management Plan, reference the appropriate section within that document.

HQ Programmatic Point of Contact List (Name, Title, Organization, Email, Phone)

Name,

Title

Organization

XXX@nnsa.doe.gov

202-586-XXXX

HQ Programmatic Point of Contact List (Name, Title, Organization, Email, Phone)

Name,

Title

Organization

XXX@nnsa.doe.gov

202-586-XXXX

HQ Programmatic Point of Contact List (Name, Title, Organization, Email, Phone)

Name,

Title

Organization

XXX@nnsa.doe.gov

202-586-XXXX

X. Approvals

The undersigned acknowledge that they have reviewed the **<Program/Project Name> Implementation Plan** and agree with the information presented within this document. Changes to this **Program/Project Implementation Plan** will be coordinated with, and approved by, the undersigned, or their designated representatives.

Signature: _____ Date: _____

Print Name: _____

Title: _____

Role: Program/Project Manager

Signature: _____ Date: _____

Print Name: _____

Title: _____

Role: _____

Signature: _____ Date: _____

Print Name: _____

Title: _____

Role: _____

Appendix A: Key Terms [Optional]

The following table provides definitions and explanations for terms and acronyms relevant to the content presented within this document.

Term	Definition
<i>[Insert Term]</i>	<Provide definition of term and acronyms used in this document.>

WORK AUTHORIZATION TEMPLATE (FIRM-FIXED-PRICE)

National Nuclear Security Administration (NNSA)
Office Name
Program/Project Name
Fiscal Year 20XX Work Authorization (Firm-Fixed-Price)
[insert Work Authorization title]

M&O Site/Contractor:

Work Authorization No: XXXXXX

Revision No: 0X

Period of Performance:

Start Date	Completion Date	Revised Completion Date	Date of Revision

Firm-Fixed-Price (FFP): \$[insert negotiated dollar amount], inclusive of allowable, allocable and reasonable direct and indirect costs.

The following table provides the Not-to-Exceed funding amounts for the period of performance.

Fund Type	B&R No.	Not-to-Exceed Funding Amounts			
		Basic	Previous	Change or Revision	Current Authorization
		\$	\$	\$	\$

1.0 Scope

The Contractor shall, in accordance with the terms of the prime Contract and this Work Authorization (WA), provide the personnel, equipment, materials, supplies, and services, (except as may be furnished by the Government) and otherwise do all things necessary for, or incidental to execute the requirements described in this WA to include meeting the specific milestones, and providing the specific deliverables as described in the Implementation Plan, (which serves as the WA Statement of Work) Attachment 1, of this Work Authorization, "Program Name FY20XX Implementation Plan & Work Authorization" at M&O Name. This Work Authorization is incorporated into the prime contract in accordance with DEAR 970.5211-1 "Work Authorization".

2.0 Changes

This Work Authorization and any subsequent changes shall be executed in accordance with the Federal Acquisition Regulation and all other contract terms and conditions. The Government shall not be liable for any costs due to modifications, changes or revisions to this WA from the requirements and prices originally negotiated and agreed to without the express prior written approval of such modification, change, or revision by the cognizant Contracting Officer. Changes to the scope, schedule, or price as specified in the attached Implementation Plan must

be issued via a Work Authorization revision signed and issued by the Contracting Officer as required by DEAR 970.5211-1, DOE O 412.1A, and NNSA SD 412.1.

3.0 Agreements

No work shall commence until this Work Authorization is approved by the Contracting Officer. The Contractor signature is a commitment that all Integrated Safety Management (ISM), Integrated Safeguards and Security Management (ISSM), and quality assurance requirements have been met, and that auditable records and files on this project are available for review. Funding for this work will be obligated through a funding modification issued by the Contracting Officer as specified in the most recent Approved Funding Program (AFP).

4.0 DEAR 970.5232-4 Obligation of Funds, flow down to Work Authorizations

This contract clause is hereby flowed down to this Work Authorization. The contractor shall segregate, allocate, and account for all costs incurred under this specific WA. Such cost data must be made available to the contracting officer upon request. In addition, the contractor must notify the contracting officer, in writing, when they recognize that they will exceed the fixed price by 10%, insufficient actual and expected funding is available to continue work or if their actual funding is insufficient to operate until further expected funding.

Contractor <i>[Insert authorized individual Title Phone number email]</i>	 <i>[signature]</i>	 Date:
Contracting Officer <i>[insert name Title Phone number email]</i>	 <i>[signature]</i>	 Date:

<PROGRAM/PROJECT NAME>

IMPLEMENTATION PLAN (Statement of Work)

Version <1.0>

<mm/dd/yyyy>

VERSION HISTORY

Version #	Implemented By	Revision Date	Approved By	Approval Date	Reason
1.0	<i>Author name</i>	<i>mm/dd/yy</i>	<i>name</i>	<i>mm/dd/yy</i>	<i><reason></i>

Table of Contents

I.	OVERVIEW [REQUIRED]	18
II.	CORPORATE PROGRAM GOAL(S) [REQUIRED]	18
III.	MAJOR ACTIVITIES [REQUIRED]	18
IV.	FUNDING GUIDANCE [REQUIRED]	18
V.	DESCRIPTION OF PLANNED ACTIVITIES [REQUIRED]	19
VI.	REPORTING REQUIREMENTS [REQUIRED]	20
VII.	KEY EXECUTION YEAR REFERENCE DOCUMENTS [REQUIRED].....	20
VIII.	MAJOR RISKS AND HANDLING STRATEGIES [OPTIONAL]	20
IX.	POINTS OF CONTACT [REQUIRED]	20
XI.	APPROVALS	22
	APPENDIX A: KEY TERMS [OPTIONAL]	23

I. Overview [Required]

This section:

- Describes the purpose of the program/project and is sourced by the most recent Congressional Budget Request
- Provides clear strategic alignment for the program/project to the most current DOE and NNSA Strategic Plans by strategic goal and objective.

Optional: A table is optional in this subsection if the Work Authorization (WA) supports multiple strategic objectives.

Required boilerplate language: “Specific work activities and scope contained herein are consistent with: 1) the Department’s Base Table when operating under a Continuing Resolution (CR); and 2) the final appropriation or full-year CR once enacted.”

II. Corporate Program Goal(s) [Required]

This section is required by *GPR Modernization Act* of 2010. Information to include: Program Name, Performance Measure/Indicator Title and Description, Fiscal Year Target and, where applicable, End Point Target. **Source:** Most current Congressional Budget Request performance table(s).

Program or Project Name	Performance Measure/Indicator Title and Description	FY201X Target	Endpoint Target

Required boilerplate language “Preliminary targets are subject to change based on a final, enacted budget.”

III. Major Activities [Required]

This section provides a description of the program/project major activities that are not site-specific, but general program priorities during the period of performance. These major activities are traceable to the most current Congressional Budget Request.

IV. Funding Guidance [Required]

This section describes Program and Fiscal Guidance; such as including the negotiated Firm-Fixed-Price (FFP) and incremental Not-to-Exceed (NTE) funding amounts for each M&O Contractor. The table below (or some variation as directed by NA-APM) must be completed for inclusion in the WA.

Program/OCL	President’s FY20XX Budget Request	FY20XX CR Operating Target	FY20XX Enacted/Full-Year CR	Difference between Request vs. Enacted

The initial NTE funding amount is equal to the Department's Base Table and should reflect 100% completion of the work activities as described in Section V, Description of Planned Activities. Once an appropriation or full-year CR is enacted the NTE funding amount should be updated to reflect the full-year appropriation amount.

Required language: "To support the scope of work contained in this Work Authorization (WA), funding will be distributed through the existing Approved Funding Program (AFP) process described in DOE Order 135.1A and NNSA BOP 001.331, or successor Order/BOP, as applicable. The AFP is adjusted on an as needed basis for the execution of congressionally approved programs, projects, or activities (PPAs). Specific work activities are authorized via this document, with incremental funding plans for each site authorized via the AFP and obligated via formal contract modification. The work contained herein will be funded on an incremental basis. The contractor is hereby authorized to expend up to the dollar amount indicated in the Program/OCL funding table or as otherwise noted in the AFP allotment, whichever is less, and subject to the availability of funds in the M&O contract. Note: As indicated in Section 4.0, the contractor is required to notify the contracting officer, in writing, when they recognize that they will exceed the estimated cost by 10%, insufficient actual and expected funding is available to continue work, or if their actual funding is insufficient to operate until further expected funding."

V. Description of Planned Activities [Required]

This subsection provides the information referenced under the Scope Section of the WA cover sheet and should be in sufficient detail to meet the requirements of DEAR 970.5211-1. At a minimum, the planned activities should replicate the Congressional Budget Request (budget narrative), should be written to the site-specific level, and should include: a general description of the work, primary deliverables and/or performance expectations, and schedule of key deliverables as shown in the table below or a specific reference where the work and FFP price information can be found.

Required language: "The purpose of this WA is to outline key work requirements to be performed and to control individual work activities within the scope of work. Contractors may not deviate from this plan without a revised WA."

Required language (for NNSA M&O Contracts only): "Annual performance expectations for each M&O contractor outlined in this document will be considered by the Government in developing the contractor's annual Performance Appraisal/Assessment Report for this WA. There will be no fee earned or paid on this FFP WA."

Note: The level of detail should provide sufficient information to the site to enable mission execution at a level of performance needed to support the appropriate CPEP evaluation and/or appraisal/assessment requirements.

Note: If the type of work is considered a level of effort (LOE), performance criteria can be either quantitative or qualitative, yet it must be measurable. It is appropriate to think of criteria as “entry” and “exit” criteria that supports mission accomplishment of deliverables. Exit criteria should reflect what must be done to clearly ascertain if the event has been successfully completed. The Implementation Plan/Work Authorization includes the approval of work at designated site(s).

VI. Reporting Requirements [Required]

This subsection should contain sufficient detail on any applicable reporting expectations or include reference to applicable document(s) with detailed reporting expectations.

Examples:

- All sites (M&Os and non-M&Os) must report cost data at the project level on or before the 10th day of the month.
- Monthly performance reporting for completed activities is required on or before the 5th workday of the month.

VII. Key Execution Year Reference Documents [Required]

Required language: “The following documents are incorporated by reference:”

This subsection is in bullet format and should include key execution year reference documents, which may include, but are not limited to:

- **X Strategic Plan** (Month, Year)
- **X Integrated Master Plan and Integrated Master Schedule**
- **X Program Management Plan (PMP)** (Month, Year, Version)
- **Portfolio Work Plans (PWPs)**
- **Approved Funding Program Explanation of Changes (AFP)** and regular monthly financial plan adjustments.
- **Other** (references to detailed Statements of Work (SOW), work proposals, project plans or similar documents).

VIII. Major Risks and Handling Strategies [Optional]

This subsection can be used to outline programmatic risk associated with the authorized scope. If needed, the Program should provide details here that will help manage expectations to ensure accomplishment of mission scope and deliverables absent of unanticipated barriers or reference a document that discusses risk management (e.g., PMP).

IX. Points of Contact [Required]

This subsection identifies responsible organization(s), titles, and telephone numbers of the staff who serve as key implementation points of contact. These contacts should include the HQ Federal Program Manager, Project Manager, or other managers and representatives with responsibilities related to implementation. If the applicable team members are listed in the Project Management Plan, reference the appropriate section within that document.

HQ Programmatic Point of Contact List (Name, Title, Organization, Email, Phone)

Name,

Title

Organization

XXX@nnsa.doe.gov

202-586-XXXX

HQ Programmatic Point of Contact List (Name, Title, Organization, Email, Phone)

Name,

Title

Organization

XXX@nnsa.doe.gov

202-586-XXXX

HQ Programmatic Point of Contact List (Name, Title, Organization, Email, Phone)

Name,

Title

Organization

XXX@nnsa.doe.gov

202-586-XXXX

XI. Approvals

The undersigned acknowledge that they have reviewed the **<Program/Project Name> Implementation Plan** and agree with the information presented within this document. Changes to this **Program/Project Implementation Plan** will be coordinated with, and approved by, the undersigned, or their designated representatives.

Signature: _____ Date: _____

Print Name: _____

Title: _____

Role: Program/Project Manager

Signature: _____ Date: _____

Print Name: _____

Title: _____

Role: _____

Signature: _____ Date: _____

Print Name: _____

Title: _____

Role: TBD

Appendix A: Key Terms [Optional]

The following table provides definitions and explanations for terms and acronyms relevant to the content presented within this document.

Term	Definition
<i>[Insert Term]</i>	<Provide definition of term and acronyms used in this document.>

THIS PAGE INTENTIONALLY LEFT BLANK

APPENDIX 2: WORK AUTHORIZATION PROCESS MAP

