

SUPPLEMENTAL DIRECTIVE

NNSA SD 412.1A

Approved: 11-20-24
Certification Due: 11-20-27

WORK AUTHORIZATIONS



NATIONAL NUCLEAR SECURITY ADMINISTRATION
Office of Partnership and Acquisition Services

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Office of Partnership and Acquisition Services

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WORK AUTHORIZATIONS

1. **PURPOSE.** To supplement Department of Energy (DOE) Order 412.1A, *Work Authorization System*, for the purpose of establishing procedures to administer National Nuclear Security Administration (NNSA)-sponsored work authorizations (WA) with greater efficiency.
 - a. This Supplemental Directive (SD):
 - (1) Identifies the required WA processes, including the necessary formats.
 - (2) Identifies review and approval authorities for WAs.
 - (3) Establishes internal controls necessary to safeguard change control and ensure consistency.
 - b. Any inconsistency in this SD must be resolved in the following order of priority:
 - (1) Contract schedule.
 - (2) Contract clauses.
 - (3) DOE Order 412.1A and other DOE Orders as applicable.
2. **CANCELLATION.** NNSA SD 412.1, *Work Authorizations*, Dated 1-18-17.
3. **APPLICABILITY.**
 - a. **Federal.** The provisions of this directive apply to all NNSA programs and NNSA-funded work.
 - 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 (U.S.C.) 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 SD for activities under the Director's cognizance, as deemed appropriate.
 - d. **Exemption.** 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).
4. **SUMMARY OF CHANGES.** Implements requirements for storing executed WAs and a schedule for completing draft WAs. This revision also updates responsibilities to reflect organizational changes, incorporates changes to clarify the content of implementation plans, and includes editorial changes for clarity.

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.

The annual performance-based implementation plan (IP) serves as the statement of work and will be attached to the WA; the WA is incomplete if it does not have an IP attached.

6. REQUIREMENTS.

- a. In accordance with DEAR 970.5211-1, activities must not be authorized nor costs incurred prior to the Contracting Officer (CO) issuance of a WA or direction concerning continuation of activities of the contract. 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.
- b. Initial WAs must be submitted to the field offices for review on or before August 15 of the preceding FY. The program office must communicate any delays and extenuating circumstances to the field office if this date will not be met. The program office and the field office will determine if an interim WA is needed until the final WA can be executed.
- c. If one or more parties do not approve of the scope of work, schedule, or estimated cost requirements identified in the WA, the parties must find a resolution. In the event a resolution cannot be reached, the CO has the ultimate authority to resolve the conflict and may issue WAs unilaterally in accordance with DEAR 970.5211-1.
- d. In the case of new work requirements, or changes during the course of the FY, a WA 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. All changes to a WA must be made using a formal change control process that is the same as the generation and distribution process of the initial WA.
- e. If operating under a Continuing Resolution (CR) at the start of the FY, the WA must be issued to align with and not exceed 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.

- f. All WAs and revisions thereto must be reviewed and accepted by all responsible parties as outlined in the process map in Appendix B. Signatures are required by the Program Manager (IP only), the Contractor (WA only), and the cognizant Field Office 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, integrated safeguards and security management, and quality assurance requirements. The Field Office CO's signature on both the WA and the associated funding modification issued by the Procuring Contracting Officer indicates authorization to begin work.
- g. WAs must be generated using the required templates and guidance (see Appendix A) to ensure consistency across NNSA programs.
 - (1) The estimated cost on the WA must reconcile the funds obligated or planning to be obligated on the contract. Changes that are within the scope of an existing WA 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 the NNSA Office of 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. However, changes that are not covered within the scope of the WA must be executed through a new or revised WA.
 - (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, work plans, and other guidance specifically identified.
 - (3) WAs must include an IP that serves as the statement of work and describes, at a minimum, a general description of the work to be performed with a milestone schedule and deliverables specific to the contractor that is associated with the WA. The IP may include multiple contractors if the description of work clearly identifies what is expected for the contractor associated with the WA and is not a general description of work to be applied across multiple contractors. Where detailed information is not included in the work authorization's attached IP, 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) 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.).
 - h. WAs that crosscut multiple programs must be reviewed by the responsible program offices to ensure that all programmatic interdependencies have been appropriately reflected.
 - i. 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.
 - j. Fully executed WAs must be maintained in Strategic Integrated Procurement Enterprise System (STRIPES) or another location designated by the cognizant CO. If a location outside of STRIPES is used, a reference must be included in STRIPES to identify where the WAs are stored. The repository must be organized in a manner that allows for WAs to be readily identified and obtained.
 - k. Revisions or amendments to WAs must be issued whenever there is a change resulting in a change in the work scope and for other changes as determined by the Program/Project Manager. Revisions or amendments must be numbered and reflected in the WA.
7. RESPONSIBILITIES.

- a. Office of Partnership and Acquisition Services, Strategic Initiatives Branch.
 - (1) Provides guidance and coordination to facilitate the preparation of WAs and any revisions thereto.
 - (2) Assists in the resolution of issues relating to the WA.
 - (3) Conducts random reviews of WAs submitted to the Work Authorization Expense Object Coding (WAEOC) mailbox (WAEOC@nnsa.doe.gov) for quality control, including compliance with regulation and policy. NA-PAS reserves the option to review all WAs for compliance at any time.

b. Program Office.

- (1) Develops initial and subsequent IP in accordance with this SD, applicable requirements, and the Appendix A template.
- (2) Provides the signed IP to NA-MB.
- (3) Sends NA-MB funding changes by site, including a high-level description of those funding changes.
- (4) Issues technical direction in writing through an authorized COR, as appropriate.
- (5) Works 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) Provides additional programmatic information when requested to review and approve WAs.
- (7) Ensures 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.
- (8) Coordinates with the 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).

- (1) Reviews Approved Funding Program (AFP) input and funding changes from program office.
- (2) Enters values and funding changes into financial system (i.e., Budget Formulation and Distribution System).
- (3) Confirms funding information with program office.
- (4) Issues AFP to field office.
- (5) Completes the WA using the template in Appendix A. The WA integrates the IP received from the program office and the AFP amounts.
- (6) Issues WA (with the IP attached) to NA-PAS WAEOC Request Mailbox and field CO.
- (7) Validates that funding identified in the WA has been obligated to the contractor or made available to the field office for obligation.

- (8) Reconciles and resolves discrepancies between WA language, funding, and obligations.
- (9) Maintains record of financial reports and CO-signed WAs to support reconciliation.

d. Contracting Officers.

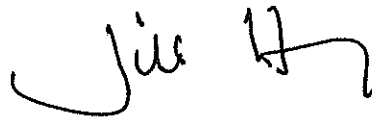
- (1) Work jointly with the Program or Project Officers and Contractors to reach agreement on an acceptable scope, cost (price if a fixed price WA), and schedule for each WA.
- (2) Review and sign the proposed WA for each contract under their cognizance to ensure work is appropriate for performance by the contractor and is within the contracted scope.
- (3) Ensure that the contractor signs the WA within 30 calendar days.
- (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 management and operating (M&O) contractor for signature.
- (7) Retain the fully signed WA in STRIPES or another repository. If a repository outside of STRIPES is used, a reference must be included in STRIPES.
- (8) Distribute fully executed WA to program, NA-MB, and WA mailbox (NNSAWAs@nnsa.doe.gov).
- (9) Serve as the primary point of contact for questions or issues concerning the WA.

8. DEFINITIONS. See Appendix C.

9. REFERENCES. See Appendix D.

10. CONTACT. Office of Partnership and Acquisition Services, 202-586-4921.

BY ORDER OF THE ADMINISTRATOR:

A handwritten signature in black ink, appearing to read "Jill Hruby", with a stylized flourish at the end.

Jill Hruby
Administrator

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- B. Work Authorization Process Map
- C. Definitions
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APPENDIX A: WORK AUTHORIZATION TEMPLATES

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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	Budget & Reporting No. (full 9-digits)	Estimated Cost		
		Current	Change	Revised Authorization
		\$	\$	\$

Explanation of Funds:

[Include Explanation of Funds table to identify the intended purposes of the funds. The EOF may also be included as an attachment.]

Summary of Changes (For Work Authorization Revisions Only):

[Include a brief description of the changes (e.g., incremental funding, additional scope, etc.).]

1.0 Scope

The Contractor must, in accordance with the terms of the prime Contract and this Work Authorization, 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 Work Authorization to include meeting the specific milestones, and providing the

specific deliverables as described in the Implementation Plan, (which serves as the Work Authorization 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 Department of Energy Acquisition Regulation (DEAR) 970.5211-1 "Work Authorization."

2.0 Changes

This Work Authorization and any subsequent changes must 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 must 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 Order 412.1A, and NNSA Supplemental Directive 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, Integrated Safeguards and Security Management, 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 must segregate, allocate, and account for all costs incurred under this specific Work Authorization. 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 percent, 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	Author name	mm/dd/yy	name	mm/dd/yy	<reason>

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I. OVERVIEW [REQUIRED]

This section:

- Describes the purpose of the program/project and is sourced by the most recent Congressional Budget Request; and
- 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 *Government Performance and Results Act 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 management and operating (M&O) Contractor. The table below (or some variation as directed by the Office of Partnership and Acquisition Services [NA-PAS]) must be completed for inclusion in the WA.

Program/O CL	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 must reflect 100 percent 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 must 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 130.1A and NAP 130.1C, or successor Order/NAP, 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/Obligation Control Level (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 percent, 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 must be in sufficient detail to meet the requirements of DEAR 970.5211-1. At a minimum, the planned activities must replicate the Congressional Budget Request (budget narrative), must be written to the site-specific level, and must include: a general description of the work, primary deliverables 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 may 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 must 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 (i.e., the current state of the planned activities and the expected state of the planned activities at completion of the LOE) 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 must contain sufficient detail on any applicable reporting expectations or include reference to applicable document(s) with detailed reporting expectations.

Examples:

- All sites (M&O Contractor and non-M&O Contractor sites) 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 must include key execution year reference documents, which may include:

- **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, e-mail addresses, and telephone numbers of the staff who serve as key implementation points of contact. These contacts must 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: _____

Signature: _____ Date: _____

Print Name: _____

Title: _____

Role: _____

Signature: _____ Date: _____

Print Name: _____

Title: _____

Role: _____

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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>	<i><Provide definition of term and acronyms used in this document.></i>

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	Budget and Reporting (B&R) No. (full 9-digit)	Not-to-Exceed Funding Amounts			
		Basic	Previous	Change or Revision	Current Authorization
		\$	\$	\$	\$

Explanation of Funds:

[Include Explanation of Funds (EOF) table to identify the intended purposes of the funds. The EOF may also be included as an attachment.]

Summary of Changes (For Work Authorization Revisions Only):

[Include a brief description of the changes (e.g., incremental funding, additional scope, etc.).]

1.0 Scope

The Contractor must, 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 Department of Energy Acquisition Regulation (DEAR) 970.5211-1 "Work Authorization."

2.0 Changes

This Work Authorization and any subsequent changes must 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 Order 412.1A, and NNSA Supplemental Directive 412.1.

3.0 Agreements

Work must not commence until this Work Authorization is approved by the Contracting Officer. The Contractor signature is a commitment that all Integrated Safety Management, Integrated Safeguards and Security Management, 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 must 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 percent, 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	Author name	mm/dd/yy	name	mm/dd/yy	<reason>

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I. OVERVIEW [REQUIRED]

This section:

- Describes the purpose of the program/project and is sourced by the most recent Congressional Budget Request; and
- 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 *Government Performance and Results Act 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-PAS) 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 percent 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 must 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 130.1A and NNSA Policy (NAP) 130.1C, or successor Order/NAP, as applicable. The AFP is adjusted on an as-needed basis for the execution of congressionally approved programs, projects, or activities. 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/Obligation Control Level (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 must be in sufficient detail to meet the requirements of DEAR 970.5211-1. At a minimum, the planned activities must replicate the Congressional Budget Request (budget narrative), be written to the site-specific level, and include a general description of the work, primary deliverables or performance expectations, a 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 must 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 may be considered by the Government in developing the Contractor’s annual evaluation that is reported in the Contractor Performance Assessment Reporting System. There will be no fee earned or paid on this FFP WA.”

Note: The level of detail must provide sufficient information to the site to enable mission execution at a level of performance needed to support the appropriate CPEP evaluation 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 (i.e., the current state of the planned activities and the expected state of the planned activities at completion of the LOE) 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 must contain sufficient detail on any applicable reporting expectations or include reference to applicable document(s) with detailed

reporting expectations.

Examples:

- All sites (M&Os Contractor and non-M&Os Contractor sites) 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:

- **X Strategic Plan** (Month, Year)
- **X Integrated Master Plan and Integrated Master Schedule**
- **X Program Management Plan (PMP)** (Month, Year, Version)
- **Portfolio Work Plans (PWP)**
- **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, e-mail addresses, and telephone numbers of the staff who serve as key implementation points of contact. These contacts must 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:	_____	

Signature:	_____	Date:
Print Name:	_____	

Title:	_____	
Role:	_____	

Signature:	_____	Date:
Print Name:	_____	

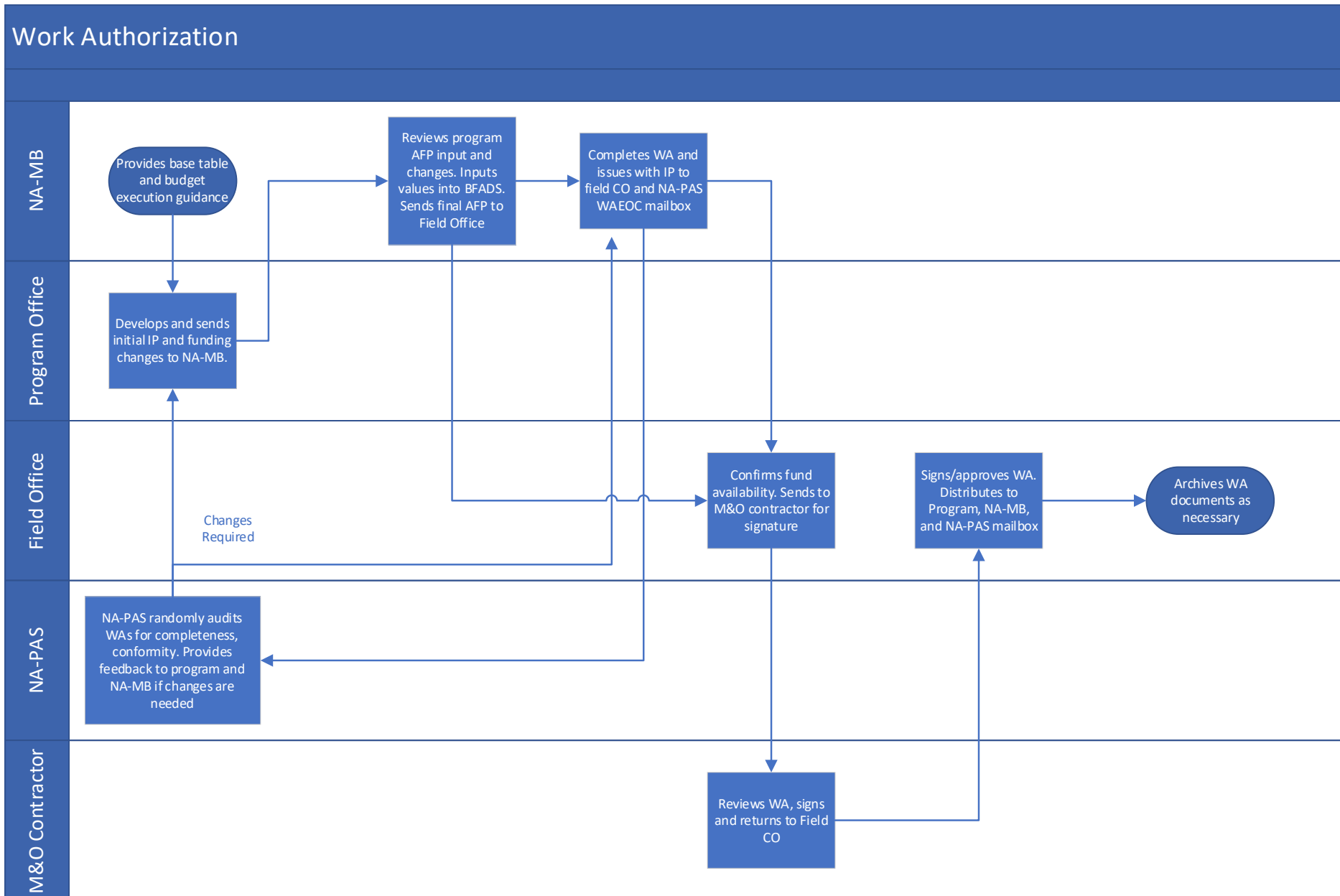
Title:	_____	
Role:	_____	

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>	<i><Provide definition of term and acronyms used in this document.></i>

APPENDIX B: WORK AUTHORIZATION PROCESS MAP



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APPENDIX C: DEFINITIONS

- a. Approved Funding Program (AFP). A process that distributes funding for obligation through contract funding modifications.
- b. Contracting Officer (CO). A person with the authority to enter into, administer, or terminate contracts and make related determinations and findings within the limits of their delegated authority.
- c. Contracting Officer's Representative (COR). A Federal employee designated in writing by the Contracting Officer to assist in the technical monitoring or administration of a contract.
- d. Implementation Plan (IP). The program document attached to the work authorization that describes the scope of work to be performed 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.

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APPENDIX D: REFERENCES

- a. Regulatory Requirement DEAR 970.1170-1, Work Authorization
- b. Contract Clause DEAR 970.5211-1, Work Authorization
- c. Department of Energy Order 412.1, *Work Authorization System*, current version.

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APPENDIX E: ACRONYMS/ABBREVIATIONS

- a. AFP Approved Funding Program
- b. B&R Budget and Report
- c. BFAD Budget Formulation and Distribution System
- d. CO Contracting Officer
- e. COR Contracting Officer's Representative
- f. CR Continuing Resolution
- g. DOE Department of Energy
- h. FY Fiscal Year
- i. FYNSP Future Years Nuclear Security Program
- j. GPRA Government Performance and Results Act
- k. IP Implementation Plan
- l. ISM Integrated Safety Management
- m. ISMM Integrated Safeguards and Security Management
- n. NA-MB Management and Budget
- o. NA-PAS Partnership and Acquisition Services
- p. NAP NNSA Policy
- q. NNSA National Nuclear Security Administration
- r. OCL Obligation Control Level
- s. OPI Office of Primary Interest
- t. SD Supplemental Directive
- u. SIB Strategic Initiatives Branch
- v. STRIPES Strategic Integrated Procurement Enterprise System
- w. WA Work Authorization
- x. WAEOC Work Authorization Expense Object Coding