

PART III

SECTION J – LIST OF DOCUMENTS, EXHIBITS AND OTHER ATTACHMENTS

ATTACHMENT 11

REPORTING REQUIREMENTS

A. General Management

The following list identifies most reports, plans, and other deliverables required by the contract to be submitted on a recurring basis. While effort has been made to identify recurring requirements the list is not intended to be all inclusive. The Contractor shall be responsible for providing all reports, plans and other deliverables as required by the contract.

S e c t i o n	Deliverable	Type	Due Date
C.1.V. Institutional Direction and Performance Objectives	Strategic planning document	Plan	As mutually agreed
H.9 Fee and Performance	Cost Proposal	Cost Proposal	Prior to the start of the evaluation period but no later than August 15
H.11 (a) Work Authorization System	Develop annual plans and baselines (see the Statement of Work) to include detailed scope, estimated cost, and schedule for each program implementation activity.	Plan	Prior to the start of each fiscal year
H.11 (b) Work Authorization System	Utilizing the annual plans and baselines process, the Contractor and DOE shall mutually establish scope, schedule of performance, and total estimated cost (reference H.9 Fee and Performance).	Plan	Prior to the start of the evaluation period but no later than August 15
I.1 52.252-2 Clauses Incorporated by Reference (Feb 1998) 52.222-8 Payrolls and Basic Records	<ul style="list-style-type: none"> • The Contractor shall submit weekly for each week in which any contract work is performed a copy of all payrolls to the Contracting Officer, accompanied by a Statement of Compliance • Submit copies of payrolls by all subcontractors, accompanied by a Statement of Compliance 	Key Deliverable	Weekly

Section	Deliverable	Type	Due Date
I.1 52.252-2 Clauses Incorporated by Reference (Feb 1998 52.222-11 Subcontracts (Labor Standards)	<ul style="list-style-type: none"> Deliver to the Contracting Officer a completed Statement and Acknowledgment Form (SF 1413) for each subcontract, including the subcontractor's signed and dated acknowledgment that the clauses set forth in paragraph (a) of this clause have been included in the subcontract. Deliver to the Contracting Officer an updated completed SF 1413 for such additional subcontract. 	Report	<ul style="list-style-type: none"> Within 14 days after award of the contract Within 14 days after the award of any subsequently awarded subcontract
I.21 (c) 52.219-9 Small Business Subcontracting Plan (Oct 2000)	Subcontracting Plan	Plan	As requested by the Contracting Officer
I.21 (j) 52.219-9 Small Business Subcontracting Plan (Oct 2000)	<ul style="list-style-type: none"> Submit Standard Form 194, Subcontracting Report for Individual Contracts Submit Standard Form 295, Summary Subcontract Report 	Report	<ul style="list-style-type: none"> Semiannually and at contract completion Semiannually for contracts with the Department of Defense and annually for contracts with civilian agencies
I.23 (b) 52.219-25 Small Disadvantaged Business Participation Program- Disadvantaged Status and Reporting (Oct 1999)	Submit report with the final Subcontracting Report for Individual Contracts (Standard Form 294) if this contract contains an individual Small, Small Disadvantaged and Women-Owned Small Business Subcontracting Plan.	Report	At the time of completion of the contract
I.34 (b) and (c) 52.223-3 Hazardous Material Identification and Material Safety Data (Jan 1997 (Alternate 1)(Jul 1995)	Material Safety Data Sheets	Report	Update during the performance of the contract
I.34 (d) and (e) 52.223-3	Material Safety Data Sheets [meeting the requirements of 29 CFR 1910.1200(g) and the	Report	Update during the performance of the contract

Section	Deliverable	Type	Due Date
Hazardous Material Identification and Material Safety Data (Jan 1997) (Alternate 1)(Jul 1995)	latest version of Federal Standard No. 313 for all hazardous material identified in I.34 (b)].		
I.35 (b) 52.223-5 Pollution Prevention and Right-to-Know Information (Apr 1998)	Provide all information needed by the Federal facility to comply with the emergency planning reporting requirements of Section 302 of EPCRA; the emergency notice requirements of Section 304 of EPCRA; the list of Material Safety Data Sheets required by Section 311 of EPCRA; the emergency and hazardous chemical inventory forms of Section 312 of EPCRA; the toxic chemical release inventory of Section 313 of EPCRA, which includes the reduction and recycling information required by Section 6607 of PPA; and the toxic chemical reduction goals requirements of Section 3-302 of Executive Order 12856.	Report	As required
I.38 (a) 52.223-14 Toxic Chemical Release Reporting (Oct 2000)	<ul style="list-style-type: none"> • Toxic Chemical Release Inventory Form (Form R) [unless exempt, as described in sections 313(a) and (g) of the Emergency Planning and Community Right-to-Know Act of 1986 (EPCRA)(42 U.S.C. 11023(a) and (g)), and section 6607 of the Pollution Prevention Act of 1990 (PPA) (42 U.S.C. 13106)]. • File for each facility subject to the Form R filing and reporting requirements, Form R 	Report	<ul style="list-style-type: none"> • Annually by July 1 for the prior calendar year • Annually for the life of the contract
I.69 (a) and (b) 52.247-67 Submission of Commercial Transportation Bills to the General Services Administration for Audit (Jun 1997)	<p>Submit for audit commercial bills of lading (CBL) with freight shipment charges exceeding \$50. Bills under \$50 shall be retained on-site by the Contractor and made available for GSA on-site audits. This exception only applies to freight shipment bills and is not intended to apply to bills and invoices for any other transportation services.</p> <ul style="list-style-type: none"> • Submit copies of paid freight bills/invoices, CBL's, passenger coupons, and supporting documents • Submit paid freight bills/invoices, CBL's, passenger coupons, and supporting documents for first-tier subcontractors under a cost- 	Key Deliverable	<ul style="list-style-type: none"> • As soon as possible following the end of the month • As soon as possible following the end of the month

Section	Deliverable	Type	Due Date
	reimbursement contract. <ul style="list-style-type: none"> • Provide original transportation bills or other documents requested by GSA • Statement prepared in duplicate by the Contractor shall accompany each shipment of transportation documents. 		<ul style="list-style-type: none"> • Promptly • Case by case
I.77 952.204-2 Security (Sep 1997)	Except as otherwise provided in this contract, transmit to DOE any classified matter in the possession of the contractor or any person under the contractor's control in connection with performance of this contract.	Key Deliverable	Upon completion or termination of this contract
I.79 (a) 952.204-71 Sensitive Foreign Nations Controls (Apr 1994)	The Contractor has the right to terminate its performance under this contract if it determines that it is unable to continue performance due to the Sensitive Foreign Nations Controls requirements.	Notification	Upon at least 60 days' prior written notice to the Contracting Officer
I.80 (a) 952.204-75 Public Affairs (Dec 2000)	Release unclassified information to the public and news media regarding DOE policies, programs, and activities relating to its effort under the contract.	Key Deliverable	Ongoing, in accordance with procedures defined by the Contracting Officer
I.82 (c) 952.209-72 Organizational Conflicts of Interest (Jun 1997)(Alternate I)(Jun 1997)	Make an immediate and full disclosure of changes, including additions, to the facts disclosed by the Contractor prior to award of this contract	Notification	Immediately, as required
I.85 952.223-75 Preservation of Individual Occupational Radiation Exposure Records (Apr 1984)	Individual occupational radiation exposure records generated in the performance of work under this contract shall be subject to inspection by DOE and shall be preserved by the contractor until disposal is authorized by DOE or at the option of the contractor delivered to DOE upon completion or termination of the contract.	Key Deliverable	During the course of the contract; and upon completion or termination of the contract
I.88 (b)(1) 952.226-72 Energy Policy Act Subcontracting Goals and Reporting Requirements (Jun 1996)	Report progress against the goals by providing the actual annual dollar value of subcontract payments for the preceding 12-month period, and the relationship of those payments to the incurred contract costs for the same period.	Report	On an annual Federal Government fiscal year basis – Reports must be received by the Contracting Officer (or designee) not later than 45 days after the end of the reporting period.
I.88 (b)(2) 952.226-72	Report, if the contract includes reporting requirements under FAR 52.219-9, Small, Small	Report	Annually

S e c t i o n	Deliverable	Type	Due Date
Energy Policy Act Subcontracting Goals and Reporting Requirements (Jun 1996)	Disadvantaged and Women-Owned Subcontracting Plan, the contractor's progress against the goals stated in paragraph (b) of this clause shall be included as an addendum to Standard Form 294, Subcontracting Report for Individual Contracts, and/or Standard Form 295, Summary Subcontract Report, as applicable, for the period that corresponds to the end of the Federal Government fiscal year.		
I.94 (b) 970.5203-1 Management Controls (Dec 2000)	Quality Assurance Program	Program	
I.100 (f) 970.5215-1 Total Available Fee: Base Fee Amount and Performance Fee Amount (Dec 2000)	Self Assessment	Assessment	Within 30 calendar days after the end of the award fee period
I.101 (b) and (c) 970.5215-2 Make-or-Buy Plan (Dec 2000)	Make-or-Buy Plan	Plan	<ul style="list-style-type: none"> • For new contract awards, submit plan for approval within 180 days after contract award • If the existing contract is to be extended, submit plan for review and approval at least 90 days prior to the commencement of the negotiations for the extension.
I.101 (e)(3) 970.5215-2 Make-or-Buy Plan (Dec 2000)	<ul style="list-style-type: none"> • Review approved make-or-buy plan to ensure that it reflects current conditions. • Changes to the approved plan shall be submitted for evaluation and review. • Modification of the plan to incorporate proposed changes or additions shall be effective upon the Contractor's receipt of the Contracting Officer's written approval. 	Plan	<ul style="list-style-type: none"> • At least annually • In advance
I.102 (a) 970.5215-3 Conditional Payment of Fee, Profit, or Incentives (Alternate 1)(Dec 2000)	Safety Management System	Program	In accordance with the provisions of the clause entitled, "Integration of Environment, Safety and Health into Work planning and Execution, or as otherwise agreed to with the contracting officer
I.105 (e)	<ul style="list-style-type: none"> • Documented Safety Management System 	Program	<ul style="list-style-type: none"> • Dates for submittal, discussions, and

S e c t i o n	Deliverable	Type	Due Date
970.5223-1 Integration of Environment, Safety, and Health into Work Planning and Execution (Dec 2000)	<ul style="list-style-type: none"> Review and update, for DOE approval, its safety performance objectives, performance measures, and commitments consistent with and in response to DOE's program and budget execution guidance and direction. 		revisions to the System will be established by the Contracting Officer <ul style="list-style-type: none"> Annually
I.106 (b) and (c) 970.5223-2 Acquisition and Use of Environmentally Preferable Products and Services (Dec 2000)	Prepare and submit reports on matters related to the use of environmentally preferable products and services.	Report	From time to time in accordance with written direction from the Contracting Officer and submitted through the DOE recycling point of contact
I.108 970.5226-1 Diversity Plan (Dec 2000)	Diversity Plan	Plan	<ul style="list-style-type: none"> Within 90 days after the effective date of this contract (or contract modification, if appropriate) Update annually or with its annual fee proposal
I.110 (3) 970.5227-2 Rights in Data-Technology Transfer (Dec 2000)	<ul style="list-style-type: none"> Furnish documentation in accordance with clause I.110 to the DOE Energy Science and Technology Software Center Furnish to DOE's Office of Scientific and Technical Information a copy of such data as well as an abstract of the data suitable for dissemination purposes. 	Key Deliverable	<ul style="list-style-type: none"> For computer software at the time permission to assert copyright is given under clause I.110. The Patent Counsel, for good cause shown by the Contractor, may allow the minimum support documentation to be delivered within 60 days after permission to assert copyright is given or at such time the minimum support documentation becomes available. For data other than computer software to which the Contractor has received permission to assert copyright under clause I.110, within 60 days of obtaining permission
I.111 (h)(2) 970.5227-3 Technology Transfer Mission (Dec 2000) (Alternate 1)(Dec 2000)	<ul style="list-style-type: none"> Include as a part of its annual Laboratory Institutional Plan or other such annual document a plan setting out those uses to which royalties and other income received as a result of performance of authorized technology transfer activities herein will be applied at the Laboratory. Provide a separate accounting for how the funds were actually used. 	Plan	<ul style="list-style-type: none"> Annually At the end of the year

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I.111 (k) 970.5227-3 Technology Transfer Mission (Dec 2000) (Alternate 1)(Dec 2000)	Provide reports to the Contracting Officer to enable DOE to maintain the reporting requirements of Section 12(c)(6) of the Stevenson-Wydler Technology Innovation Act of 1980, as amended (15 U.S.C. 3710a(c)(6)).	Report	Annually in a format to be agreed upon between the Contractor and DOE of the Contractor's technology transfer activities while protecting any data not subject to disclosure under the Rights in Technical Data clause and clause I.111.
I.111 (l) 970.5227-3 Technology Transfer Mission (Dec 2000) (Alternate 1)(Dec 2000)	Submit to DOE a technology transfer plan for conducting its technology transfer function for the upcoming year, including plans for securing Intellectual Property rights in laboratory innovations with commercial promise and plans for managing such innovations so as to benefit the competitiveness of the United States industry.	Plan	On or before October 1 st of each year
I.121 (k) 970.5232-2 Payments and Advances (Alternate II) (Alternate III) (Dec 2000)	Statement of Costs Incurred and Claimed	Report	Annually as of September 30
I.122 (e) 970.5232-3 Accounts, Records, and Inspection (Dec 2000) (Alternate II) (Dec 2000)	Furnish such progress reports and schedules, financial and cost reports, and other reports concerning the work under this contract as the Contracting Officer may from time to time require.	Report	Case by case
I.122 (i) 970.5232-3 Accounts, Records, and Inspection (Dec 2000) (Alternate II) (Dec 2000)	Submit or make available to the Contracting Officer results of internal audits of records, operations, expenses, and the transactions with respect to costs claimed to be allowable under this contract	Report	Annually, and at such other times as may be mutually agreed upon
I.126 970.5232-7 Financial Management System (Dec 2000)	Plan for new financial management systems and/or subsystems and major enhancements and/or upgrades to the currently existing financial systems and/or subsystems.	Plan	Annually
I.130 (a) 970.5237-2 Facilities Management (Dec 2000)	Long-Range Site Development	Plan	Annually

Section	Deliverable	Type	Due Date
I.130 (c) 970.5237-2 Facilities Management (Dec 2000)	<ul style="list-style-type: none"> Develop a 10-year energy management plan for each site with annual reviews and revisions. Submit an annual report on progress toward achieving the goals of the 10-year plan for each individual site. Submit an annual energy conservation analysis report for each new building or building addition project. 	Plan and Report	<ul style="list-style-type: none"> Annually Annually
I.133 (a) 970.5244-1 Contractor Purchasing System (Dec 2000)	<ul style="list-style-type: none"> Develop, implement, and maintain formal policies, practices, and procedures to be used in the award of subcontracts consistent with clause I.133 and 48 CFR 970.44. Document, acceptable to DOE, Contractor's purchasing system and methods. 	Key Deliverable	<ul style="list-style-type: none"> Ongoing In accordance with 48 CFR 970.4401-1
Appendix A Section 3.1	<ul style="list-style-type: none"> Submit Laboratory Compensation Program for Contracting Officer approval. Submit design changes that affect costs for review and approval by the Contracting Officer. 	Key Deliverable	Annually
Appendix A Section 3.5.b.	Provide for Contracting Officer approval a copy of the annually developed salary increase guidelines prepared for supervisory use, indicating the parameters for granting various increases based on employee performance and current salary.	Key Deliverable	Annually
Appendix A Section 3.7.c.	Provide the Contracting Officer with wage and compensation reports	Report	As requested
Appendix A Section 5.1.	Provide copies of policies and insurance plan description booklets in which Group Insurance Plan features are set forth	Key Deliverable	Current
Appendix A Section 5.2.d.	Provide a summary of other benefit programs being offered	Key Deliverable	Annually
Appendix A Section 5.d.	Submit a semiannual report to the Contracting Officer on all Worker's Compensation claims reserved at \$25,000 and above and the reserves established on all new claims.	Report	Semiannually
Appendix A Section 6.h.	<ul style="list-style-type: none"> Submit an Actuarial Report containing a gain/loss analysis by source and Internal Revenue Forms 5500 and Schedules Submit an Annual Accounting Report of the type detailed in DOE Order 350.1 And/or submit any other information concerning the plan which may be required by the Contracting Officer 	Report	Annually
Appendix A	<ul style="list-style-type: none"> Submit training programs and their 	Key	<ul style="list-style-type: none"> Within the first year of the contract

Section	Deliverable	Type	Due Date
Section 9. 1.	associated costs for Contracting Officer approval <ul style="list-style-type: none"> Submit the projected costs of the programs and any proposed changes 	Deliverable	<ul style="list-style-type: none"> Annually thereafter
Appendix A Section 9.4.	Provide the Contracting Officer a summary of outreach plans (Research Participant Program) and the participant profiles for informational purposes	Key Deliverable	On a calendar year basis
Appendix A Section 10.4.	Submit an annual plan describing planned activities for the Wellness Program to the Contracting Officer for approval.	Plan	Annually
Appendix A Section 13	Submit an annual report to the Contracting Officer detailing how costs of participating in community activities were expended.	Report	Annually, on a fiscal year basis
Performance Evaluation and Measurement Plan	Submit a self-assessment	Key Deliverable	30 calendar days after each award fee period ends
Performance Evaluation and Measurement Plan	Work together to establish performance measures; propose to Contracting Officer	Key Deliverable	Due annually no later than August 15

C. Exception Reports (DOE IG, GAO etc.)

Hot Line Report to be submitted within twenty-four hours of event being reported.

D. Technical

The Contractor shall provide reproducible copies of patent cleared Topical Reports to the DOE Office of Scientific and Technical Information (OSTI), AD-21.

The Contractor shall submit Reports as required by the cognizant DOE HQ or NAO technical manager.

EXPLANATION REPORT DUE DATES

As Required:

Within 30 days of guidance or direction to replan for Milestone, Labor and Cost Plans.

Within 24 hours of event being reported by Hot Line Report.

Within 30 days of completion of applicable work for Topical Reports.

Contractual Change:

Within 30 days of notification of contract change.

Monthly:

Within 20 working days following the month being reported.

Quarterly:

Within 20 working days following the quarter being reported.