

PART III

SECTION J – LIST OF DOCUMENTS, EXHIBITS AND OTHER ATTACHMENTS

ATTACHMENT 11

KEY DELIVERABLE AND REPORTING REQUIREMENTS

Revised: 4/12/04

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 inclusive. The Contractor shall be responsible for providing all reports, plans and other deliverables as required by the contract.

B. List of key reports, plans, and other deliverables.

Section	Deliverable	Type	Due Date
C.I.V. Institutional Direction and Performance Objectives	Strategic planning document	Plan	As mutually agreed
H.9 Fee and Performance	Cost Proposal	Key Deliverable	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.	Plans (Cost Proposal; One-Year Plan; and Performance Measures)	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).	Key Deliverable (Cost Proposal)	Prior to the start of the evaluation period but no later than August 15
52.222-8 (b) Payrolls and Basic Records Included in 52.252-2 Clauses Incorporated by Reference (Feb 1998) (Applies to labor applicable to Davis-Bacon Act only)	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.	Key Deliverable	Weekly
	Submit copies of payrolls by all subcontractors, accompanied by a Statement of Compliance.	Key Deliverable	Weekly

Section	Deliverable	Type	Due Date
52.222-11 Subcontracts (Labor Standards) Included in 52.252-2 Clauses Incorporated by Reference (Feb 1998) (Applies to labor applicable to Davis-Bacon Act only)	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.	Report	Within 14 days after award of the contract
	Deliver to the Contracting Officer an updated completed SF 1413 for such additional subcontract.	Report	Within 14 days after the award of any subsequently awarded subcontract
52.219-9 (c) Small Business Subcontracting Plan (Jan 2002)	Subcontracting Plan	Plan	Annually
52.219-9 (j) Small Business Subcontracting Plan (Jan 2002)	Submit Standard Form 294, Subcontracting Report for Individual Contracts.	Report	Semiannually and at contract completion
	Submit Standard Form 295, Summary Subcontract Report.	Report	Semiannually for contracts with the Department of Defense and annually for contracts with civilian agencies
52.219-25 (b) 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
52.223-3 (b) and (c) Hazardous Material Identification and Material Safety Data (Jan 1997) (Alternate 1)(Jul 1995)	Material Safety Data Sheets List	Report	Update during the performance of the contract
52.223-3 (d) and (e) Hazardous Material Identification and Material Safety Data (Jan 1997) (Alternate 1)(Jul 1995)	Material Safety Data Sheets [meeting the requirements of 29 CFR 1910.1200(g) and the latest version of Federal Standard No. 313 for all hazardous material identified in 52.223-3.	Report	Prior to contract award and update during the performance of the contract

Section	Deliverable	Type	Due Date
52.223-5 (b) 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
52.223-14 (a) Toxic Chemical Release Reporting (Oct 2000)	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)].	Report	Annually by July 1 for the prior calendar year
	File for each facility subject to the Form R filing and reporting requirements, Form R.	Report	Annually for the life of the contract
52.247-67 (a) and (b) Submission of Commercial Transportation Bills to the General Services Administration for Audit (Jun 1997)	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. Submit copies of paid freight bills/invoices, CBL's, passenger coupons, and supporting documents.	Key Deliverable	As soon as possible following the end of the month
	Submit paid freight bills/invoices, CBL's, passenger coupons, and supporting documents for first-tier subcontractors under a cost-reimbursement contract.	Key Deliverable	As soon as possible following the end of the month
	Provide original transportation bills or other documents requested by GSA.	Key Deliverable	Promptly
	Statement prepared in duplicate by the Contractor shall accompany each shipment of transportation documents.	Key Deliverable	Case by case
952.204-71 (a) 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
952.204-75 (a) 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
952.209-72 (c)(1) 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

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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
952.226-72 (c)(1) 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.
952.226-72 (c)(2) Energy Policy Act Subcontracting Goals and Reporting Requirements (Jun 1996)	Report, if the contract includes reporting requirements under FAR 52.219-9, Small, Small 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.	Report	Annually
970.5203-1 (b) Management Controls (Dec 2000)	Quality Assurance Program	Program	Maintain as part of its operational responsibilities
970.5215-2 (b) and (c) Make-or-Buy Plan (Dec 2000)	Make-or-Buy Plan	Plan	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.
970.5215-2 (e)(3) Make-or-Buy Plan (Dec 2000)	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 Plan	At least annually Submit revisions in advance of effective date
970.5215-3 (a) Conditional Payment of Fee, Profit, or Incentives (Dec 2000)(Alternate 1)(Dec 2000)	Safety Management System	Program	In accordance with the provisions of the clause 970.5223-1 or as otherwise agreed to with the contracting officer

Section	Deliverable	Type	Due Date
970.5223-1 (c) and (e) Integration of Environment, Safety, and Health into Work Planning and Execution (Dec 2000)	Documented Safety Management System 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.	Program Key Deliverable	Dates for submittal, discussions, and revisions to the System will be established by the Contracting Officer Annually
970.5223-2 (c) Affirmative Procurement Program (March 2003)	Prepare and submit reports on matters related to the acquisition of items designated in EPAs Comprehensive Procurement Guidelines that Federal Agencies and their Contractors are to procure with recovered/recycled content.	Report	At the end of the Federal Fiscal year.
970.5226-1 Diversity Plan (Dec 2000)	Diversity Plan	Plan	Within 90 days after the effective date of this contract (or contract modification, if appropriate) Update annually or with Contractor's annual fee proposal
970.5227-2 (e) (3) Rights in Data-Technology Transfer (Dec 2000)	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 Key Deliverable	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

Section	Deliverable	Type	Due Date
970.5227-3 (h)(2) Technology Transfer Mission (Aug 2002) (Alternate 1)(Aug 2002)	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 Key Deliverable	Annually At the end of the year
970.5227-3 (k) Technology Transfer Mission (Aug 2002) (Alternate 1)(Aug 2002)	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 clauses 970.5227-2 and 970.5227-3 (n)
970.5227-3 (l) Technology Transfer Mission (Aug 2002) (Alternate 1)(Aug 2002)	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
970.5227-8 (d) Refund of Royalties (Aug 2002)	Statement of royalties paid or required to be paid in connection with performing this Contract and subcontracts hereunder	Report	Annually upon request
970.5232-2 (k) Payments and Advances (Dec 2000) (Alternate II) (Alternate III) (Dec 2000)	Statement of Costs Incurred and Claimed	Report	Annually as of September 30
970.5232-3 (e) 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	As required by Contracting Officer
970.5232-3 (i) 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
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
970.5237-2 (a) Facilities Management (Dec 2000)	Long-Range Site Development	Plan	Annually

Section	Deliverable	Type	Due Date
970.5237-2 (c) Facilities Management (Dec 2000)	Develop a 10-year energy management plan for each site with annual reviews and revisions.	Plan †	Annually
	Submit an annual report on progress toward achieving the goals of the 10-year plan for each individual site.	Report	Annually
	Submit an annual energy conservation analysis report for each new building or building addition project.	Report	Annually
970.5244-1 (a) Contractor Purchasing System (Dec 2000)	Develop, implement, and maintain formal policies, practices, and procedures to be used in the award of subcontracts consistent with clause 970.5244-1 and 48 CFR 970.44.	Key Deliverable	Ongoing
	Document, acceptable to DOE, Contractor's purchasing system and methods.	Key Deliverable	In accordance with 48 CFR 970.4401-1
Appendix A Section 3.1	Submit Laboratory Compensation Program for Contracting Officer approval.	Key Deliverable	Annually
	Submit design changes that affect costs for review and approval by the Contracting Officer.	Key Deliverable	Case by case
Appendix A Section 3.5.a	Compensation Increase Plan	Plan	Prior to each salary program year
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.d.	Provide the Contracting Officer with wage and compensation reports.	Report	As requested
Appendix A Section 5.1.	Provide experience reports, and any other reports	Key Deliverable	As requested on a calendar year basis
Appendix A Section 5.2.d.	Provide a summary of other benefit programs being offered.	Key Deliverable	Annually
Appendix A Section 5.5.d.	Submit a annual report to the Contracting Officer on all Workers' Compensation claims reserved at \$25,000 and above.	Report	Annually
Appendix A Section 5.9.	Submit an analysis of the financial performance of the group medical benefit program(s).	Key Deliverable	Annually, at the anniversary of the benefit program year
Appendix A Section 6.1.h.	Submit an Actuarial Report containing a gain/loss analysis by source and Internal Revenue Forms 5500 and Schedules.	Report	Annually
	Submit an Annual Accounting Report of the type detailed in DOE Order 350.1.	Report	Annually
	And/or submit any other information concerning the plan which may be required by the Contracting Officer.	Key Deliverable	Annually
Appendix A Section 9.1.	Submit training programs and their associated costs for Contracting Officer approval.	Key Deliverable	Within the first year of the contract
	Submit the projected costs of the programs and any proposed changes for Contracting Officer approval.	Key Deliverable	Annually thereafter

Section	Deliverable	Type	Due Date
Appendix A Section 10.3.	Provide results of an evaluation of the Employee Assistance Programs/Substance Abuse Programs and the projected cost for the next year to Contracting Officer	Key Deliverable	Annually
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 10.6.c.	An annual report to the Contracting Officer detailing how the Recreation and Morale Program funds were disbursed.	Report	Annually, on a fiscal year basis
Performance Evaluation and Measurement Plan	Submit a self-assessment	Assessment	30 calendar days after each award fee period ends
Performance Evaluation and Measurement Plan	DOE and the Contractor 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