|  |  |
| --- | --- |
| NETL F 541.1-5#  (11/2017) OPI=PS10  (Previous Editions Obsolete) | **J.X ATTACHMENT B - REPORTING REQUIREMENTS**  **REPORTING REQUIREMENTS CHECKLIST** |

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **1. AWARDEE:** | **[Insert Contractor Name]** | | | | | **2. IDENTIFICATION NUMBER:** | **[Insert Contract Number]** | | | |
| **3. REPORT SUBMISSION:** | | | | | | | | | | |
| Reports shall be submitted to the National Energy Technology Laboratory (NETL) in electronic format to the identified network location. Report templates are examples. The Contractor may submit the requested information using their own templates provided the same information is incorporated. If the submission involves a DOE or NETL Form, the Contractor may submit the requested information in a format of its own choosing as long as the same information is provided.  The reports in this checklist apply to the contract in general. The Performance Work Statement (PWS) may require other specific reports and/or deliverables. | | | | | | | | | | |
| **4. PLANNING AND REPORTING REQUIREMENTS:** | | | | | | | | | | |
|  | | **FORM NO.** | | **FREQ:** |  | | | **FORM NO.** | | **FREQ:** |
| A. GENERAL MANAGEMENT | |  | |  | D. PROPERTY | | |  | |  |
|  | |  | |  |  | | |  | |  |
| Management Plan | | None | | O, C | Property Management System | | | None | | P |
| Status Report | | None | | M | Property in the Custody of Contractors | | | F580.1-8 | | SP |
| PEP Documentation Report | | None | | E | Report of Physical Inventory | | | None | | I\*\*\* |
| Quality Assurance Management Plan | | None | | O, A\* | Report of Termination or Completion | | | SF-1428 | | FC |
| Annual Work Operating Plan | | None | | PY | Inventory | | | & SF-120 | |  |
|  | |  | |  |  | | |  | |  |
| B. SCHEDULE/LABOR/COST | |  | |  | E. OTHER | | |  | |  |
|  | |  | |  |  | | |  | |  |
| Cost Management Report | | See Text | | M | Individual Subcontract Report | | | ISR | | SS |
| Invoice Detail Report | | See Text | | M | Summary Subcontract Report | | | SSR | | YS |
| Staffing Report Summary | | See Text | | M | Service Contract Inventory | | | SAM | | Y |
| Open Commitment Detail Report | | See Text | | M | Biobased Reporting | | | SAM | | Y |
| Contract Organization Chart | | See Text | | O, A | EEO and Inclusion Report | | | None | | Y |
| Subcontract Status Report | | See Text | | S | Key Personnel Staffing Report | | | None | | M |
| Annual Indirect Rate Submission | | See Text | | A\*\* | Business Travel | | | None | | Y |
|  | |  | |  |  | | |  | |  |
| C. ENVIRONMENTAL ES&H | |  | |  |  | | |  | |  |
|  | |  | |  |  | | |  | |  |
| Hazardous Substance Plan | | None | | O |  | | |  | |  |
| Hazardous Waste Report | | None | | FC |  | | |  | |  |
| ES&H Hot Line Report | | None | | A |  | | |  | |  |
| ES&H Reports (DOE O 231.1, | | See Orders & | | A |  | | |  | |  |
| M 231.1-1, O 232.1) | | Manuals | |  |  | | |  | |  |
| Integrated Safety Management Plan | | See DOE | | O, A\* |  | | |  | |  |
| (DOE P 450.4) | | Orders | |  |  | | |  | |  |
|  | |  | |  |  | | |  | |  |
| **5. FREQUENCY CODES AND DUE DATES:** | | | | | | | | | | |
| **Definition** | | | **Calendar days due after event** | | **Definition** | | | | **Calendar days due after event** | |
| A – As Required (See attached text for applicability) | | | 0 | | O – Once After Award | | | | 30 | |
| C – Contract Change | | | 15 | | PY – Yearly Plan for following Federal Fiscal Year | | | | -15 | |
| E – End of Evaluation Period | | | 5 | | S – Semiannual (Ending 3/31 and 9/30) | | | | 30 | |
| FC – Final End of Effort | | | 0 | | Y – Yearly (End of fiscal year 9/30) | | | | 30 | |
| M – Monthly | | | 15 | |  | | | |  | |
| Property Reports  P – Property Management System – Within 6 months of award date  I – Physical Inventory  SP – Semiannual due 3/15 and 9/15 for period ending 2/28 and 8/30 respectively | | | | | Other Web-based reports  SS – Individual Subcontract Report - Semiannual due 4/30 and 10/30 for period ending 3/31 and 9/30 respectively, submit on-line at <http://www.esrs.gov>  YS – Summary Subcontract Report - Annually, due 10/30 for period ending 9/30, submit on-line at <http://www.esrs.gov>  SAM – System for Award Management at <http://www.sam.gov> | | | | | |
| \* Plan is to be updated as significant changes are identified.  \*\* No later than six months after the close of Contractor’s fiscal year. If NETL is the Cognizant Federal Agency, then the proposal should be submitted to the identified electronic file location for report submissions. Otherwise, it should be sent to the Cognizant Federal Agency.  \*\*\* Property inventory conducted on the following basis: Capitalized, Sensitive, or High Risk Personal Property – Annual; Accountable Property – 3 years; Nonaccountable Property – contract completion. | | | | | | | | | | |
| **6. SPECIAL INSTRUCTIONS:** | | | | | | | | | | |
| Contractor’s Fiscal Year: **[Insert Date]**  The forms identified, with a forms number, in the checklist are available at <http://www.netl.doe.gov/business/forms.html>. | | | | | | | | | | |

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# **GENERAL INSTRUCTIONS FOR THE PREPARATION AND SUBMISSION OF REPORTS**

The Contractor shall prepare and submit the plans and reports indicated on the “Reporting Requirements Checklist” to the electronic addresses provided in the NETL-identified electronic file location. The electronic file location will be provided at the post award debriefing with the Contractor. Distribution of the plans and reports will be accessed from the electronic file location by individuals authorized by the Contracting Officer.

The level of detail the Contractor provides in the plans and reports shall be commensurate with the scope and complexity of the effort and shall be as delineated in the guidelines and instructions contained herein. The prime Contractor shall be responsible for acquiring data from any subcontractors to ensure that data submitted are compatible with the data elements which prime Contractors are required to submit to DOE.

# **MANAGEMENT PLAN**

The Management Plan describes the Contractor’s approach to performing the effort and producing the products identified in the contractual agreement, and the technical, schedule, cost, and financial management control systems to be used to manage performance.

The sample outline for the Management Plan and a description of the contents follows:

**Executive Summary**

The executive summary gives DOE/NETL's management a brief, comprehensive overview of the most important aspects of the management plan.

**Background**

This is a discussion of the background of the project, including the scientific, sociological, legislative, and historical factors, that demonstrates the Contractor’s understanding of the problems, both technical and management, associated with the project.

**Scope of the Project**

This section gives a brief overview of the project. It should include:

* general description of project objectives;
* work element titles and short descriptions and;
* participants.

**Work Breakdown Structure (WBS)**

The scope and complexity of the contractual agreement influence the number of levels required. Each descending level represents an increasingly detailed definition of the work elements. Level 1 is the goal or objective of the contractual agreement in its entirety. Level 2 consists of the major work products necessary for achieving the goals of the contractual agreement. Level 3 outlines the major element segments (subsystems) necessary for completing Level 2 elements. Work breakdown structure elements are identified by name and number from a progressive, alphanumeric system. For example:

WBS Level 1: Contract Level Reporting

WBS Level 2: CLIN / Task Order Level Reporting

WBS Level 3: Work/Task Assignment Level Reporting

WBS Level 4: Activity Level Reporting

The outline for the WBS and a description of the contents follows:

WBS ELEMENT X.X: (TITLE)

OBJECTIVE: State the objective of the work element in a concise manner.

BACKGROUND**:** State the background in a concise manner. Include descriptions of any outstanding issues which must be resolved in order to make progress.

TECHNICAL APPROACH: Describe in detail the manner in which the various issues will be resolved. You should consider how the various work elements relate to one another and to other relevant ongoing work. Work outputs which feed into other work elements (and vice-versa) should be clearly delineated.

DELIVERABLES: Describe specifically the results of the effort.

**Support Systems and Controls**

In this section, the management, technical, and administrative systems that will be used to control and execute the project will be described. Examples of the systems include, but is not limited to: systems and engineering analysis; quality assurance; environmental, safety and health; legal support; automated data processing support; and accounting support. The accounting, property management, and procurement systems should be identified as to whether they are Government approved systems.

# **STATUS REPORT**

The Status Report presents the Contractor’s narrative technical assessment of the work actually performed and the overall status of the various CLINs/SubCLINs or Task Orders/Activities. Open items requiring action by either the Contractor or DOE are noted in this report. The report also provides a summary assessment of the current situation, including forecast for the near future and the expected impact on SubCLIN or Activity accomplishment. The report is to include a listing of the major products for each CLIN/SubCLIN or Task Order/Activity in bullet form and, if applicable, a list of pertinent presentations and publications.

# **QUALITY ASSURANCE MANAGEMENT PLAN**

The Quality Assurance Management Implementation Plan shall be developed and submitted by the Contractor. The plan shall describe how the Contractor will implement a quality assurance (QA) philosophy, as outlined in the most current version of the DOE O 414.1, Quality Assurance; DOE G 414.1-2, Quality Assurance Program Guide for Use with 10 CFR Part 830, Subpart A, Quality Assurance Requirements; and NETL O 414.1, Quality Management System; and NETL Operating Plan 414.1-1, Quality Management System Program Plan. The plan shall provide (1) a process and graded approach to the integration of the requirements listed into its everyday work activities; and (2) a discussion on how the execution of the Contractor’s plan will successfully and cost-effectively integrate with NETL's own QA program for on-site work to be conducted. This plan shall be reviewed annually, revised as needed, and be approved by the NETL Quality Manager. The DOE quality assurance directives and guidelines can be found at <http://www.directives.doe.gov/>. NETL quality directives are available on the NETL Intranet.

# **COST MANAGEMENT REPORT**

***PURPOSE***

The Cost Management Report provides a monthly status of actual and estimated costs, obligated funds, and plan values, as well as a projection of funds expiration, for each reportable element within a designated contract. This report serves as an accounting, budgeting, and project management tool. Federal personnel will use this report to monitor the funding and cost status of the contract, verify the reasonableness of the Contractor’s invoices, formulate budgets and calculate award fee pools.

***FORM***

An Excel file (541\_1-5 Cost-Management-Report.xlsx) has been included as a sample template in Part III, Section J. The following is the suggested format for submission of this report.

***INSTRUCTIONS***

|  |  |
| --- | --- |
| **Item** | **Description** |
| 1 | Enter the official contract title. |
| 2 | Enter the inclusive start and completion dates for the reporting period. |
| 3 | Enter the official contract number and, if a modification(s) has occurred, append the latest modification number. |
| 4 | Enter the name of the Contractor. |
| 5 | Enter the date of the contract’s current cost plan, which serves as a baseline for this report. |
| 6 | Enter the official start date of the original contract. |
| 7 | Enter the official completion date as of the latest modification to the contract. |
| 8 | Enter the Title, Contract Line Item Number (CLIN), Sub-CLIN, Task, or Activity Numbers, in numerical order, consistent with the contract’s Work Breakdown Structure as per the current Management Plan. |
| 9 | Enter the current approved plan revision for each Element as applicable. Revisions will be tracked by an alpha character added to the end of the Element with “A” designating the first revision. If no revision is included, leave this blank. |
| 10 | Enter the five-digit “Fund Code” identified in Field 1 of the Accounting Flex Field (AFF) provided on the funding source document. |
| 11 | Enter the “Appropriation Year” from which the funding is provided. This will be the same as Field 2 of the AFF. |
| 12 | Enter the six-digit “Reporting Entity” identified in Field 4 of the AFF. |
| 13 | Enter the five-digit “Object Class Code” identified in Field 6 of the AFF. |
| 14 | Enter the seven-digit “Program Number” that is used to fund the Element. This number will correspond to Field 7 of the AFF. If more than one Program number is being used, place the pertinent funding information on separate lines. |
| 15 | If applicable, enter the seven-digit “Project Number” identified in Field 8 of the AFF. |
| 16 | If applicable, enter the seven-digit “Work for Others (WFO)” number identified in Field 9 of the AFF. A WFO number is a unique designation for NETL customer work. |
| 17 | If applicable, enter the seven-digit “Local Use” number. This number will correspond to Field 10 of the AFF. |
| 18 | Enter the “Current FY Obligations” that have been obligated against the Element in the current fiscal year. |
| 19 | Enter the cumulative “Total Obligations” awarded to the contract as of the close of the reporting period. The obligations will be broken out over the unique AFF’s. |
| 20 | Enter the “Approved FY Cost Plan” value as shown on the most recent authorized cost plan. This will be an estimate of the cost of work planned in the current fiscal year distributed by funding source. Only plan values authorized by the CO shall be recorded in this column. |
| 21 | Enter the authorized “Total Plan Value” for the entire performance period of the Element, which may span multiple fiscal years. |
| 22 | Enter the total “Reporting Period Actual Cost” invoiced for the reporting period. Cost distribution for each AFF will be provided as financial technical direction from the Contracting Officer’s Representative (COR) or the CLIN COR. |
| 23 | Enter the total “Reporting Period Planned Cost” for the reporting period as shown in the most recent authorized cost plan. |
| 24 | Enter the total “FY To Date Actual Cost” invoiced as of the close of the reporting period for the current fiscal year. |
| 25 | Enter the “FY to Date FY Balance of Plan” remaining of the planned cost for the current fiscal year as shown in the latest approved fiscal year cost plan (Item 20). |
| 26 | Enter the total “Cumulative to Date Actual Cost” invoiced for the Element from the inception of the contract to the end of the reporting period. |
| 27 | Enter the total authorized “Cumulative to Date Plann Cost” for the Element from the inception of the contract to the date of the report. |
| 28 | Enter the “Open Commitments”, defined as any costs incurred by the end of the current reporting period but not yet invoiced to NETL.  This would include subcontractor costs incurred but not yet billed to NETL and any award fee earned but not yet invoiced to NETL. Upon completion of the first award fee period estimates for fee shall be based on the average percentage of historic fee earned, not 100% of available award fee pool. Special consideration should be made to accurately estimate subcontract costs when the prime has not received invoices but is aware that the work has occurred.  Open commitments should be distributed to the funding line with remaining available funding greater than $0 that has the oldest appropriation year and the smallest total obligated funding at the end of the current reporting period. Open commitments should not exceed the total remaining available funding in an AFF line unless additional funding lines are not available.  \*\*\*Note\*\*\*  The Award Fee included in OC’s will be a cumulative amount and will only be reduced when the CO authorizes a payment. The Award Fee authorized payment amount will then be included in the FY to Date Actuals (#24) and Cumulative to Date Actuals (#26) on the next monthly CMR. |
| 29 | Enter the total “Next Month Plan Cost” for the next reporting period as shown in the most recent authorized cost plan. |
| 30 | Enter the “FY Total Cost” which is defined as the costs that the Contractor expects to incur during the current fiscal year.  A contract project manager’s estimate should be used to project the balance of the year and should include those costs that have been incurred but not invoiced to NETL (open commitments as defined in Item 28). The calculation of Total FY Actual Cost + FY Balance of Plan + Open Commitments can be used as a starting point for this estimate, but project manager's input must be obtained to incorporated any deviations to plan that may be anticipated technically. |
| 31 | Enter the projected “Funds Fully Costed Date” for the date on which the funds available to the Contractor for a specific Element are projected to be fully costed. The date only needs to be on the Element Total line. |
| 32 | Enter the total of all costs for each column that can be summed. If multiple pages are used, enter the total only on the final page.  \*\*\*NOTE\*\*\*  Current FY Obligations (Item 18) and Total Obligations (Item 19) must equal the obligation amounts listed on the contract modifications. |
| 33 | Enter the unit measure for dollar amounts shown (e.g., exact dollars and cents). NETL cost entries are done to the penny. Carry the unit of measure out to decimals (e.g., cents), rounding to two decimal places. Format the cell to round to the dollar so space will be saved. NETL Finance will reformat the appropriate column to two decimals for making cost entries. |
| 34 | Enter the signature of the responsible Contractor Project Manager and the date signed, verifying the validity of the furnished information based upon the Project Manager’s knowledge of the contract’s current progress and status. |
| 35 | Enter the signature of the Contractor’s financial representative and the date signed, verifying the validity of the furnished information based upon the financial representative’s knowledge of the contract’s current progress and status. |
| 36 | Enter notes that relate to a reporting elements’ financial status. Include modifications received after the closing date of the reporting period but before the actual due date of the CMR. and Task Plan revisions submitted to NETL through SSCM but not yet awarded by the CO |

***Special Instructions***:

Any reference to a fiscal year refers to the Federal Government fiscal year, October 1 through September 30 of the following year.

For the purpose of this report, the term “Element” refers to any reportable CLIN, Sub-CLIN, Task, or Activity.

A new line entry must be inserted anytime one of the following components changes:

1. Title/CLIN/Sub-CLIN/Task Number/Activity Number

2. Fund Code

3. Appropriation Year

4. Reporting Entity

5. Object Class Code

6. Program Number

7. Project Number

8. Work for Others Number

9. Local Use Number

Each Element will be subtotaled. If a Sub-element is associated with an Element, the Sub-element will be totaled and reported at both the Sub- and Element level. For example, an Element with two or more subs would show all of the above information for each sub-Element and rolled up to the Element level.

Any and all breakouts of Sub-CLINs/activities must be received as technical direction, in writing, from the Contracting Officer’s Representative (COR) or the CLIN COR.

# **INVOICE DETAIL REPORT**

***PURPOSE***

The Invoice Detail Report provides a monthly status of actual and planned FTE hours worked for each CLIN or Task and a headcount within a designated contract. This report will be used by Federal personnel as an information source and as a project management tool. This report will also serve as the base for the staffing report and will also serve as supporting documentation for the “Public Voucher for Purchases and Services Other Than Personal" (SF-1034). CLIN/Task managers will review the data as part of the invoice approval process.

***FORM***

An Excel file (541\_1-5 Invoice-Detail-Report.xlsx) has been included as a sample template in Part III, Section J. The following is the suggested format for submission of this report.

***INSTRUCTIONS***

|  |  |
| --- | --- |
| **Item** | **Description** |
| **1** | Enter Contractor’s name and address. |
| **2** | Enter the contract identification (CID) number. |
| **3** | Enter the CLIN/Sub-CLIN/Task/Activity number and title. |
| **4** | Enter a sequential invoice number as designated by the Contractor. |
| **5** | Enter a sequential invoice number as designated by the Contractor. |
| **6** | Enter the date the invoice was issued. |
| **7** | Enter the inclusive start and completion dates for the invoice period. |
| **8** | Enter the employee’s name. |
| **9** | Enter the labor category title and Exempt € or Nonexempt (NE). |
| **10** | Enter the employee status [full time (FT), part time (PT)]. |
| **11** | Enter the employer name (prime Contractor, subcontractor). |
| **12** | Enter the employee’s current loaded labor rate. |
| **13** | Enter the actual hours worked in the reporting period by the employee. The available hours may vary by month depending on weekends, holidays, number of days in month, etc. |
| **14** | Enter the total labor cost per employee for the period. |
| **15** | Enter full time equivalent (FTE) actual time worked. |
| **16** | Enter the FTE labor by site. |
|  | Off-site – any location that is not on one of NETL’s sites as defined in “on-site” below. |
|  | On-site – Federally-owned or leased property within the defined boundaries of the sites including Pittsburgh, PA; Morgantown, WV; Sugar Land, TX; Anchorage, AK; Albany, OR; and any future sites. |
| **17** | Enter the cumulative hours worked to date per employee. |
| **18** | Enter the previous months costs (can be done by copying the values from “Cumulative Current Cost,” column R on the spreadsheet from the prior month). This column will be used to calculate the cumulative current cost column. The cumulative current cost is the total cost from previous periods plus the cost for the current period. |
| **19** | Enter the total items of 12 through 18 described above. |

|  |  |
| --- | --- |
| **20** | If applicable, enter the labor G&A rate and dollar amount. |
| **21** | Enter the Total Direct Labor cost to include Labor G&A (if applicable) |

|  |  |
| --- | --- |
| **22** | Enter the planned/actual labor hours for theaaa current period. |
| **23** | Enter the planned/actual labor hours for the cumulative total. |
| **24** | Other direct costs (ODCs) include those cost other than labor, which are directly related and charged to the CLIN/Sub-CLIN/Task/Activity. |
| **25** | Enter a very brief description of the other direct costs. |
| **26** | Enter the second-tier subcontractor/consultants cost for the period and cumulative to date. |
| **27** | Enter materials and or supply costs for the period and cumulative to date. |
| **28** | Enter the travel costs for the period and cumulative to date. |
| **29** | Enter the training cost for the period and cumulative to date. |
| **30** | Enter the total of all ODCs |
| **31** | Enter the General & Administrative (G&A) rate and amount. |
| **32** | If applicable, enter any award fee being invoiced for the reporting period and cumulative to date amount. |
| **33** | Enter the total cost being invoiced. This will include Direct Labor, ODCs, G&A and fees. |

# **STAFFING REPORT SUMMARY**

***PURPOSE***

The Staffing Report Summary is to provide NETL management with data relative to the number of Contractor FTEs (full time equivalents) charged to each funding source within a contract. NETL uses this information in budgeting and planning exercises. In addition, many information requests are received from Headquarters dealing with the location of Contractor employees.

***FORM***

An Excel file (541\_1-5 Staffing-Report-Summary.xlsx) has been included as a sample template in Part III, Section J. The following is the suggested format for submission of this report.

***INSTRUCTIONS***

|  |  |
| --- | --- |
| **Item** | **Description** |
| **1** | Enter contractor name and address. |
| **2** | Enter contract number. |
| **3** | Enter inclusive dates of current reporting period. |
|  | \*\*\*NOTE\*\*\*  The Items below must track the exact Accounting FlexField (AFF) used in the contract funding modification. If more than one AFF was used to fund a Task/Activity then a separate row for each unique AFF must be entered on this report.  Enter the FTEs by AFF at each site location. |
| **4** | Enter the Task/Activity number, in numerical order, for the FTEs being reported. |
| **5** | Enter the seven-digit “Program Number” used to fund the Task/Activity. This number will correspond to Field 5 of the AFF string provided in the contract funding modification. If there are multiple program numbers enter each one on a separate line. |
| **6** | Enter the seven-digit “Project Number” (if applicable). This number will correspond to Field 6 of the AFF string provided in the contract funding modification. If a number is not provided, enter zeros. |
| **7** | Enter the seven-digit “Work for Others (WFO)” number (if applicable). This number will correspond to Field 7 of the AFF string provided in the contract funding modification. If a number is not provided, enter zeros. |
| **8** | Enter the seven-digit “Local Use” number (if applicable). This number will correspond to Field 8 of the AFF string provided in the contract funding modification. If a number is not provided, enter zeros. |
| **9** | Enter the six-digit “Reporting Entity” identified in Field 3 of the AFF string provided in the contract funding modification. |
| **10** | Enter the total FTE cost charged to each AFF string for the current reporting period. |
| **11** | Enter the number of FTEs by NETL site location for each AFF string being reported. |

|  |  |
| --- | --- |
|  | Off-site – any location that is not on one of NETL’s sites as defined in “on-site” below. |
|  | On-site – Federally-owned or leased property within the defined boundaries of the sites at Pittsburgh, PA (PGH); Morgantown, WV (MGN); Sugar Land, TX (HOU); Albany, OR (ALB); and Anchorage, AK (AK); including, in the case of Morgantown, NETL-leased space in the Research Ridge complex immediately adjacent to the boundary. |

|  |  |
| --- | --- |
| **12** | Enter the headcount of employees (full time and part time) at both on and off-site locations as of the end of the reporting period. |

# **OPEN COMMITMENT DETAIL REPORT**

***BACKGROUND***

The purpose of the open commitment (OC) detail report is to provide NETL Contracting Officer’s Representatives (COR) with data on the specific elements that comprise the open commitment total and the values associated with each element. NETL uses this information for two primary purposes: 1) to track the flow of costs from open commitments to invoices and 2) to identify the open commitments associated with labor, materials, supplies or travel to support the calculation of performance period costs as defined in the Performance Evaluation Plan (PEP).

***FORM***

An Excel workbook (541\_1-5 OC-Detail-Report.xlsx) has been included as a sample template in Part III, Section J. The following is the suggested format for submission of this report.

***INSTRUCTIONS***

The OC detail report is to be submitted in a spreadsheet format that supports applying column filters to the data. Dollar values are to be formatted consistently to have a “$” and two decimal places. The report is to be submitted monthly, concurrent with the submission of the CMR and Invoice Detail reports.

**Item Description**

CLIN/Task/Activity Full item number, inclusive of contract number

Totals Total of all open commitments

Deferrals Total of deferred invoices

Period X fee Performance period fee carried in open commitments – if more than one period of fee is being carried, add additional columns

Rate Adjustment Reserve Rate adjustment reserve, if required

Subcontracts in OCs Subcontract costs held in open commitments; Separate columns for each subcontractor must be provided and must identify the subcontractor. Subcontract cost held in open commitments should be inclusive of any indirect rates applied (including those applied by prime Contractor)

Other Separate columns identifying any other costs carried in open commitments

# **CONTRACT ORGANIZATION CHART (NOV 2017)**

***Purpose***

The purpose of the Contract Organization Chart is to provide NETL management with data relative to the number of Contractor Full-Time Equivalent (FTE’s) employees assigned to each NETL organization they are supporting within a contract. This report will be used by Federal officials as an information source and project management tool on the distribution of contractor resources allocated to NETL organizations.

***ANNUAL CONTRACT REPORTING REQUIREMENT***

As per contract reporting requirements, all NETL site support contractors are to submit their contract's FTE Organization Chart deliverable on an annual basis no later than the November 30 using the Contractor FTE Organization Chart excel template. FTE allocation should be derived from the contractor’s CMR reporting ending October 31, and based on a current snapshot of FTE assignments supporting various NETL organizations.

Your report should include all FTEs assigned to the Prime Contractor, Prime Participants/First-Tier Subcontractors, and all lower tier Subcontractors. Indirect FTEs should be included in your submission using Org Code 000. If an employee's work is split between multiple NETL divisions, separate FTE entries will be required for that employee. Be sure that each employee’s total FTE allocation is no more than 1.0 FTE per person. Your completed report should be returned via e-mail to your Contract COR.

***FORM***

An Excel workbook (541\_1-5 Contract-Org-Chart.xlsx) has been included as a sample template in Part III, Section J. The following is the suggested format for submission of this report.

***INSTRUCTIONS***

Detailed guidance for completing the contractor’s annual FTE Organization Chart excel template are provided below and will be included in the workbook mailing.

|  |  |
| --- | --- |
| **Item** | **Description** |
| **1** | **Submittal Date:** Enter the submission date of the report. |
| **2** | **Source Document:** Enter source document used for obtaining the data (this should reflect information from October CMR/invoice submission). |
| **3** | **Submitted by:** Enter the name and phone number of the individual authorized to submit the report. |
| **4** | **Contract:** **Select from drop-down menu** to enter the official contract number *(i.e., DE-FE0004003).* Note: Full name of contract will be displayed in cell adjacent to contract number. |
| **5** | **NETL Org ID:** **Select from drop-down menu** to enter the current NETL organizational code that the employee supports *(i.e., 120, 300, 311, etc.).* If the employee supports more than one NETL organization, then multiple entries for a single employee will be required. All Indirect FTEs should be coded as “000”. This column is formatted as a TEXT column. |
| **6** | **NETL Organization Name *(Not for contractor data input):*** When contractor selects ‘Org ID’ a formula will automatically display the corresponding ‘NETL Organization Name’. Check for accuracy. |
| **7** | **Labor Category:** Enter the appropriate labor category of the Employee *(i.e., Scientist 4, Secretary 1, etc.).* |
| **8** | **Last Name Employee:** Enter the full last name of the Employee (letters only). Last names should NOT be in all capital letters. Vacancies should be entered as ‘VACANCY’ *(Note: Do not use any other term for a vacancy, such as ‘TBD’, etc.).*  Any employees that also work for more than one NETL organization shall be listed with FTE allocations on separate rows. |
| **9** | **First Initial Employee:** Enter the first initial of the employee (no period). For employees with identical last names and first initial, include the second letter of the first name. For employees with identical last names and first two initials, include the third letter of the first name. If an employee works for more than one contractor, include the employee’s entire first name. Do NOT use all capitals.  Examples: Smith, J - or - Smith, Jo - or - Or Smith, Joh |
| **10** | **Employee PTS# *(optional - new field replacing ARRA):*** If available, please enter the employee PTS# (NETL Personnel Tracking System) which is no more than 5 digits). For contractors that do not have access to the system or are not aware of their employee's PTS#, this field can be left blank. |
| **11** | **Company No:** **Select assigned company number from drop-down menu which is linked to the ‘Company Key’ tab listing**. If other companies need to be added to drop-down menu, contractors may update the ‘Company Key tab’ list as needed. The Company Code # will consist of: contract acronym (alpha characters), hyphen, and numerals in ascending sequence; Contract Abbreviation; and Company name. See additional instructions on Company Key worksheet. |
| **12** | **FTE Allocation:** Enter the FTE percentage allocated to the specific NETL Organization. Employee should only be listed once for each NETL organization. Use two (2) decimal places only. An employee may have multiple entries, but total FTE value should not exceed 1.00 FTE. |
| **13** | **Location:**  **Select from drop-down menu** to enter the employee’s duty station from the following NETL or Offsite work locations only:  A = Albany, OR  AK = Alaska  P = Pittsburgh, PA  M = Morgantown, WV  R = Research Ridge  H = Houston, TX  O = Offsite (Example: Denver, CO, Oak Ridge, TN, Washington, DC, etc.) |
| **14** | **Status: Select ‘New’ or ‘Incumbent’ from drop-down menu as described below:**  **New:** Has not previously worked on an NETL site support contract prior to commencement of current contract employer.  **Incumbent:** Worked for another NETL contractor any time prior to commencement of current contract. |
| **15** | **Comments:** Enter additional comments as needed. |
| **16** | **FTE by Location** ***(Not for contractor input):*** A formula has been provided to automatically populate the specific columns for each employee entry, based on the corresponding location code selected in the ‘Location’ column and FTE value provided. Check for accuracy. |
| **17** | **Contract** ***(Not for contractor input):*** A formula has been provided to automatically populate the specific contract abbreviation for each employee entry, based on the ‘Company Code’ selected. Check for accuracy. |
| **18** | **Company Name *(Not for contractor input):*** A formula has been provided to automatically populate the company name for each employee entry, based on the ‘Company Code’ selected. Check for accuracy. |

***Supplemental Instructions***

* Information provided on employee status should be based on a snapshot in time as of the date of the most recent CMR/invoice submission.
* Verify data:

Is information valid?

Eliminate positions that are duplicates.

Employee has not been separated or on extended leave.

Check spelling.

* Contractors should not overwrite columns with drop-down menus or formulas. The template includes formulas for hundreds of rows. However contractor should ensure that formula is accurate if it was necessary to insert additional rows.
* Prime contractors, prime participants, First-tier subcontractors, and all lower-tier Subcontractors should be included in submittal.
* Enter number of FTE’s charged against a specific NETL organization code. Any essential Indirect FTEs that provide support to the contract in its entirety (not a specific organization) should be coded as “000”. If the FTE is split between NETL organizations, separate entries will be required for each designation. Be sure the employee’s FTE value totals to the correct FTE allocation.
* **DO** list vacancies.
* **DO** submit data for an employee on extended leave.

***Avoid***

* Avoid duplicate entries.
* An employee should only be listed once per NETL Code #.
* Total FTE allocation(s) per employee cannot exceed 1 FTE.

# **SUBCONTRACT STATUS REPORT**

***PURPOSE***

The Subcontract Status Report provides detailed data relative to the number of Subcontractors within a designated contract. This report will be used by Federal personnel as an information source document and serves as a basis for fulfilling requests received from Headquarters, DOE and other external federal entities.

***FORM***

An Excel workbook (541\_1-5 Subcontractor-Status-Report.xls) has been included as a sample template in Part III, Section J. The following is the suggested format for submission of this report.

***INSTRUCTIONS***

|  |  |
| --- | --- |
| **Item** | **Description** |
| 1 | Enter inclusive dates of current reporting period. |
| 2 | Enter the official contract title. |
| 3 | Enter the official contract number. |
| 4 | Enter the name and address of each subcontractor. Subcontractors are to be grouped by state. |
| 5 | Enter ZIP code plus the 4-digit ZIP code extension. |
| 6 | Enter the subcontractor’s business type (i.e. Academia, Industry, National Lab, Non-Profit Organization, State, or Other). A list of business types can be found on the “Business Types” worksheet in the NETL Subcontract Status Report Excel workbook. |
| 7 | Enter the subcontractor’s business classification (i.e. Small Business, Woman-Owned Small Business, etc). A list of business classifications can be found on the “Business Classifications” worksheet in the NETL Subcontract Status Report Excel workbook. |
| 8 | Enter the North American Industry Classification System (NAICS) code for the subcontractor listed under Item 4. |
| 9 | Enter the contract number in combination with CLIN, Sub-CLIN, Task, or Activity numbers (i.e. 0004009.205.01.03), consistent with the contract’s Work Breakdown Structure as per the current Management Plan. |
| 10 | Enter the official title of the CLIN, Sub-CLIN, Task, or Activity entered in Item 9 above. |
| 11 | Enter the amount of actual costs incurred in the previous fiscal year. |
| 12 | Enter the amount of actual costs incurred plus the balance of the planned costs for the current fiscal year. |
| 13 | Enter the amount of planned costs for the following fiscal year, if any. |
| 14 | Enter the total cost (actual and balance of plan) for the project identified in Item 9 above. |
| 15 | Enter the date the subcontractor began work on the project. |
| 16 | Enter the date the subcontractor completed or the anticipated date the work is to be completed by the subcontractor. |
| 17 | Enter the name (first and last) of the federal program manager. |
| 18 | Enter the program number used to fund the CLIN/ Sub-CLIN /Task/Activity identified in Item 9. |
| 19 | Enter a brief description of the project. |
| 20 | Enter the type of subcontract awarded (i.e. Cost Plus Fixed Fee, Firm Fixed Price, Time-and-Material, etc.). A list of common contract types can be found on the “Common Contract Types” worksheet in the NETL Subcontract Status Report Excel workbook. |
| 21 | Enter “Competitive” or “Non-Competitive” depending on the method used in awarding the subcontract. |
| 22 | For a “Non-Competitive” entry in Item 21, enter the justification for awarding a non-competitive subcontract. |
| 23 | Did current team have the required expertise to perform the task prior to the subcontract being awarded? Enter either “YES” or “NO”. |
| 24 | Enter a subtotal for each state. |
| 25 | Enter a grand total for all states included on the report. |

***Special Instructions:***

For reporting purposes, each State will be listed and subtotaled separately.

For the purpose of this report, the following definitions apply:

Subcontractor = means any organization or person, other than the prime Contractor (to include major or critical subcontractor(s) or partners) who entered into a contractual agreement under the prime contract.

CLIN = Contract Line Item Number

DOE = Department of Energy

NAICS = North American Industry Classification System

NETL = National Energy Technology Laboratory

# **ANNUAL INDIRECT RATE SUBMISSION**

In accordance with the Federal Acquisition Regulation (FAR) Subpart 42.7 – Indirect Cost Rates, the Contractor must submit an annual indirect cost proposal, reconciled to its financial statements, within six (6) months after the close of the Contractor’s fiscal year. The format and content of the indirect cost proposal should follow the Defense Contract Audit Agency’s (DCAA) Incurred Cost Electronically (ICE) Model in order to be considered an adequate proposal. DCAA’s ICE Model can be found on the DCAA website at: <http://www.dcaa.mil/ice_model.html>. The Contractor must submit its annual indirect cost proposal directly to the cognizant federal agency for negotiating and approving its indirect costs. If NETL is the cognizant agency, the Contractor must submit their annual indirect cost proposal directly to the NETL identified electronic file location for report submission. The Annual Indirect Rate Submission shall comply with the requirements of the "Annual Indirect Rate Submission" clause identified in Part I, Section H.

# **HAZARDOUS SUBSTANCE PLAN**

The Contractor shall submit a Hazardous Substance Plan that shall specifically identify each hazardous substance (as defined under 40 CFR 261, Subpart D, entitled “Lists of Hazardous Wastes”) anticipated to be purchased, utilized or generated in the performance of this contract. For each such hazardous substance identified, the Plan shall specifically provide the following information:

Description of Substance/Chemical

EPA Hazardous Waste Number

EPA Hazard Code

Anticipated Quantity to be purchased, utilized or generated

Anticipated Hazardous Waste Transporter

Anticipated Hazardous Waste Disposal Facility Contractor and Location (City/Municipality, State)

Anticipated Treatment Method

\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*

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# **HAZARDOUS WASTE REPORT**

The Contractor shall submit a Hazardous Waste Report that shall specifically identify each hazardous waste (as defined under 40 CFR 261, Subpart D, entitled “Lists of Hazardous Wastes”) actually utilized, or generated in the performance of this contract. For each such hazardous waste identified, the report shall specifically provide the following information:

Description of Substance/Chemical

EPA Hazardous Waste Number

EPA Hazard Code

Actual Quantity Disposed

Actual Hazardous Waste Transporter

Actual Hazardous Waste Disposal Facility Contractor and Location (City/Municipality, State)

Actual Disposal Date

Actual Treatment Method

The Hazardous Waste Report is intended as a final reconciliation of anticipated versus actual hazardous substances purchased, utilized, or generated in the performance of this contract.

# **ES&H HOT LINE REPORT**

A. The ES&H Hot Line Report may be used to report a major breakthrough in research, development, or design; an event causing a significant schedule slippage or cost overrun; an environmental, safety and health violation; achievement of or failure to achieve an important technical objective; or any requirement for quickly documented direction or redirection. . The report must be submitted by the most rapid means available, usually electronic, and is to confirm telephone conversations with the DOE Representatives. Identification as an “ES&H Hot Line Report” serves notice at each link in the delivery chain that “speed in handling” is required. The report must include:

1. Contractor’s name and address

2. Contract title and number

3. Date

4. Brief statement of problem or event

5. Anticipated impacts

6. Corrective action taken or recommended

B. ES&H Hot Line Reports are to be used to document incidents such as those listed below:

1. Any non-compliance with the provisions of the Part I, Section H, clause entitled “Environmental, Safety, and Health On-Site Service Contracts” is to be reported within three (3) calendar days unless specified otherwise below.
2. Any single fatality or injuries requiring hospitalization of five (5) or more individuals is to be immediately reported.
3. Any significant environmental permit violation is to be reported as soon as possible, but no later than 24 hours following the discovery of the incident.
4. Other incidents that have the potential for visibility in the media are to be reported as quickly as possible, but no later than 24 hours following the discovery of the incident.
5. Any failure resulting in damage to Government-owned equipment in excess of $50,000 is to be reported as quickly as possible, but no later than 24 hours following the discovery of the failure.
6. Any verbal or written Notice of Violation of any ES&H statutes arising from the performance of this contract is to be immediately reported.
7. Any accidental spill or release that is in violation of any ES&H statutes arising from the performance of this contract is to be immediately reported.
8. Any incident that causes a significant process- or hazard-control-system failure, or is indicative of one that may lead to any of the above-defined incidents, is to be reported as soon as possible, and must be reported within five (5) calendar days of discovery.
9. Any unplanned event which is anticipated to cause a sched­ule slippage or cost increase significant to the project is to be reported within 24 hours.

C. The requirement to submit ES&H Hot Line Reports for the incidents identified above is for the sole purpose of enabling DOE officials to respond to questions relating to such events from the media and other public. When an event results in the need to issue a written or verbal statement to the local media, the statement is to be cleared first, if possible, by NETL’s Office of Public Affairs and coordinated with the Contracting Officer’s Representative (COR), and the Contracting Officer.

D. When an incident is reported, the Contractor shall conduct an investigation of its cause and make an assessment of the adequacy of resultant action. A written report is required no later than ten (10) calendar days following the incident and shall include an analysis of the pertinent facts regarding the cause, and a schedule of the remedial events and time periods necessary to correct the action.

# **ES&H REPORTS (DOE O 231.1, M 231.1-1, O 232.1)**

A. The Contractor shall provide information and reports to NETL in support of DOE’s reporting requirements contained in DOE O 231.1, Environmental, Safety, and Health Reporting, DOE M 231.1-1, Environmental, Safety, and Health Reporting Manual, and DOE O 232.1, Occurrence Reporting and Processing of Operations Information. Content, form, schedule, and applications are provided in the DOE Orders and Manuals.

B. Data, information, or reports include, but are not limited to, the following areas (if applicable):

1. Work-related fatalities, injuries, and illnesses among Contractor employees arising out of work performed primarily at DOE-owned or –leased facilities

2. Work-hours and vehicle usage

3. Estimated property valuation

4. Interim exposure data reporting

5. Annual exposure data reporting

6. Radiological exposure to individuals

7. Annual summary of fire damage

8. Epidemiologic analyses-excess injuries and illnesses

9. Occupational, safety, and health information in support of epidemiological studies conducted by external organizations

10. Quarterly DOE and NETL ES&H performance indicator data

1. Annual site environmental reports
2. Annual tabulation of ES&H and quality-related assessments conducted.

C. As needed, information reports associated with the notification, recording and reporting requirements for accidents and/or incidents shall be prepared in accordance with 29 CFR 1904 and 1910. The Contracting Officer or his/her representative shall be provided with copies of all OSHA required documentation within ten (10) calendar days of the associated accident and/or incident.

D. On a quarterly basis, the Contractor shall report on the following NETL environment, safety, and health indicators (if applicable):

1. Recordable Injury/Illness Rate (total number of OSHA-defined recordable injuries and illnesses/total hours worked).

2. Lost Workday Case Rate (total number of OSHA defined lost workday cases/total hours worked)

3. OSHA Cost Index (estimated cost of workplace-related injuries and illnesses)

4. Hazardous Waste Generated (total cubic feet of hazardous waste shipped)

5. Metrics and reporting information cited in the Contractor Integrated Safety Management (ISM) Plan

# **INTEGRATED SAFETY MANAGEMENT PLAN**

An Integrated Safety Management (ISM) Implementation Plan shall be developed and submitted by the Contractor. The plan shall describe how the Contractor will implement ISM philosophy, as outlined in DOE P 450.4, Integrated Safety Management Policy, and in DOE G 450.4-1, Integrated Safety Management System Guide, into the planning, budgeting, executive, and assessment of work activities. The plan shall provide (1) a process approach to the integration of ISM’s five steps (i.e., defining the scope of work, analyzing the hazards, developing and implementing controls, performing work safely, and ensuring performance) into its everyday work activities; (2) a specific management approach to demonstrate ISM’s seven guiding principles (i.e., workforce responsibility and accountability; clear roles, responsibilities and authorities; competence commensurate with responsibilities; balance priorities; identification of ES&H standards and requirements; hazard controls tailored to work being performed; and work authorization); and (3) a discussion on how the execution of the Contractor’s plan will successfully and cost-effectively integrate with NETL’s own ISM and ES&H programs for on-site work to be conducted.

# **PROPERTY MANAGEMENT SYSTEM**

This report shall consist of the Contractor’s comprehensive written property management system. It shall address the Contractor’s written system for controlling, protecting, preserving and maintaining all Government property. The report format shall be consistent with Contractor’s system and shall as a minimum enable a comprehensive evaluation by the Government.

# **PROPERTY IN THE CUSTODY OF CONTRACTORS (NETL F 580.1-8)**

This report includes **ALL** Government-owned Contractor-acquired and Government-furnished property and materials for which the Contractor is accountable to the Government. This report shall also include Government Property at subcontractor’s plants and alternate locations.

# **REPORT OF PHYSICAL INVENTORY**

The Contractor is responsible for the management of Government Furnished Property (GFP) or Contractor Acquired Property under this contract in a manner consistent with the Federal Acquistion Regulation and the Department of Energy (DOE) personal property management program. This requires physical inventories to be conducted of the property provided under the contract at specified time frames. The inventories shall be conducted and comply with the requirements of the clause identified in Part I, Section H – "Government Property".

# **REPORT OF TERMINATION OR COMPLETION INVENTORY (SF-1428 AND SF-120)**

This report submitted on the SF-1428 and/or the SF-120 is due immediately upon completion or termination of the contract. The Contractor is required to perform and cause each subcontractor to perform a physical inventory, adequate for disposal purposes, of all Government property whether government furnished or contractor acquired applicable to the contract.

# **SERVICE CONTRACT INVENTORY**

Section 743(a) of Division C of the Consolidated Appropriations Act, 2010 (Pub. L. 111-117), requires agencies to report annually to the Office of Management and Budget (OMB) on activities performed by service contractors at both the prime and first-tier subcontractor levels. The total dollar amount invoiced and the number of direct labor hours expended on the services performed during the previous Government fiscal year are to be reported through the System for Award Management (SAM) by the Contractor. The information reported in the inventory will be made publicly accessible.

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# **BIOBASED REPORTING**

The Contractor shall report the product types and dollar value of any USDA-designated biobased products purchased by the Contractor during the previous Government fiscal year, between October 1 and September 30. The biobased report must be submitted electronically using the System for Award Management (SAM) at [http://www.sam.gov](http://www.sam.gov/). A copy of the report must also be submitted to the electronic file location identified for report submission.

# **EQUAL EMPLOYMENT OPPORTUNITY AND INCLUSION REPORT**

***Purpose***

The data provided in this report serves two major purposes:

1. To demonstrate the NETL contractor’s compliance with the rules, regulations and policies of the EEO laws, DOE EEO directives (DOE 311.1B) NETL EEO directions (orders, operating plans, and procedures) and other requirements pursuant to the Energy Policy Act of 2005, Public Law 109-58, enacted August 8, 2008.
2. To provide contractor workforce data in support of the Human Resources section of the NETL Annual Laboratory Plan as provided to DOE Headquarters.

***FORM***

An Excel workbook (541\_1-5 EEO-Inclusion-Report.xls) has been included as a sample template in Part III, Section J.

***Scope of Contractor Workforce Data Set***

The NETL contractor shall provide summary-level Headcount and FTE data on contractor personnel for the NETL-defined labor categories and ethnic groups (e.g., Blacks, Hispanics, Women, etc.) as detailed in the annual NETL EEO Data Collection template. Scope of this data collection will take into account the following contractor employee groups:

1. On-site and off-site contractor employees who work 50% or more of their time in support of the NETL contract (regardless of their geographic work station);
2. Prime contractor employees onboard as of the end of the Federal fiscal year;
3. Subcontractors who are prime participants and whose labor is directly invoiced to the government.

***Submittal Information***

1. Total Permanent Workforce as of the end of the Federal fiscal year;
2. Paid Student Employees on board during the Federal fiscal year;
3. Temporary Personnel on board during the Federal fiscal year; and,
4. Copy of the company’s most recent official EEO policies (i.e., can include web-site posting).