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U.S. Department of Energy
National Nuclear Security Administration
REPORTING REQUIREMENTS CHECKLIST

Submit by Email

Program/Project Name: Identification Number:

Participant Name: Address:

City: State: Zip Code: Phone Number:

PLANNING AND REPORTING REQUIREMENTS

Report Name	Frequency	Copies	Address	Report Name	Frequency	Copies	Address
A. General Management				E. Scientific and Technical Information (STI) DOE F 241.1 available at http://www.osi.gov			
☐ Management Plan (Requires COR Approval)				☐ Technical Progress Report (Annual Accomplishment Report)			
☐ Status Report				☐ Draft for Review			
☐ Summary Report				☐ Final for Approval			
B. Schedule / Labor / Cost				☐ Conference Report			
☐ Milestone Schedule / Plan				☐ Final Technical Report			
☐ Labor Plan				☐ Draft of Review			
☐ Facilities Capital Cost of Money Factors Comp.				☐ Final for Approval			
☐ Contract Facilities Capital and Cost of Money				☐ Software			
☐ Cost Plan				Other			
☐ Milestone Schedule / Status				F. Other Reports (Not Science and Technical Information, SIT)			
☐ Labor Management Report				☐ Draft for Review			
☐ Cost Management Report				☐ Final for Approval			
C. Exception Reports				Other			
☐ Conference Record				G. Miscellaneous Other Reports			
☐ Hot Line Report				Small Disadvantage Subcontracting Plan Reports available at eSRS website .			
D. Performance Measurement				☐ Individual Subcontracting Report (formerly SF294)			
☐ Management Control System Description				☐ Summary Subcontracting Report (formerly SF295)			
☐ WBS Dictionary				Government Property Reports (41 CFR 102-36.295) available at DOE Forms website .			
☐ Index				☐ DOE F 4300.3 Semi-Annual Report of DOE Owned Plant and Capital Equipment			
☐ Element Definition				☐ Property Information Database Report			
Cost Performance Reports				Work Environment, Health & Safety Plan (10 CFR 851)			
☐ Format 1 - WBS				☐ Initial Submission			
☐ Format 2 - Function				☐ Updates			
☐ Format 3 - Baseline							
Financial Incentives							
☐ Statement of Income and Expense							
☐ Balance Sheet							
☐ Statement of Changes in Financial Position							

Additional Reports not listed above

Report Name	Frequency	Copies	Address	Report Name	Frequency	Copies	Address
Quarterly Power Pool Meeting Notes	Q	1	A, B, C	Other			
Monthly Invoices and Billing	M	1	A, B, C	Other			
Planning Studies	F	1	A, B, C	Other			
Operating Procedures	A	1	A, B, C	Other			
Other				Other			
Other				Other			
Other				Other			
Other				Other			
Other				Other			
Other				Other			
Other				Other			
Other				Other			
Add Row				Delete Row			

Addresses

Notes: Address Code "E" = Front page of report required only. Address Code "F" = Copy of transmission page of document which was submitted to COR required.

A.

Organization: Attn: Address:

City: State: Zip Code: email: Fax Number:

B.

Organization: Attn: Address:

City: State: Zip Code: email: Fax Number:

C.

Organization: Attn: Address:

City: State: Zip Code: email: Fax Number:

D.

Organization: Attn: Address:

City: State: Zip Code: email: Fax Number:

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Frequency Codes:

A - As Required

BM - Bimonthly

S - Semi-Annually

C - Change to Contractual Agreement

M - Monthly

X - With Proposal / Bid / Application or with Significant Changes

F - Final (end of effort)

O - Once After Award

Y - Yearly or Upon Renewal of Contractual Agreement / Revision of Task Assignment

D - Daily

Q - Quarterly

W - Weekly

Prepared by (Program Manager / COR)

Reviewed by (Contract Specialist / Contracting Officer)

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PLANNING AND REPORTING REQUIREMENTS

Types of Reports and Customary Uses

The checklist identifies and communicates reporting requirements. The checklist will be completed for each contract. If necessary, special instructions may be appended to modify the checklist to adapt it to specific situations. Below are definitions of the terms used in the checklist.

A. GENERAL MANAGEMENT REPORTS

These summarize schedule, labor, and cost plans and status for rapid overview by senior managers, and provide appropriate narrative explanation of status variance from plan.

A-1 Management Plan

The "Management Plan" describes the participant'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 that performance. The "Management Plan" is commonly required as part of the proposal and becomes a binding part of the contractual agreement. The content and level of detail in the "Management Plan" vary with the types of contractual agreement and the nature of the work involved; however, they must be sufficiently comprehensive to describe the planned execution, management, and results of the work. The participant may attach existing materials (e.g., company personnel management procedures) as appropriate. Figure A-1 shows an example "Management Plan" outline which should be modified and applied as appropriate to specific applications. The plan should include:

1. A brief consolidated executive summary permitting general management to quickly comprehend the most significant components of the plan. This summary should be sufficient to present a comprehensive overview of the project and should stress the logical interrelationships among the significant planned components.
2. A brief introduction including a background (e.g., legislative, scientific, sociological, and historical) that demonstrates the participant's understanding of the problems, both management and technical, associated with the proposed effort.
3. An overall description of planned accomplishments, including technical, schedule, cost, and financial results, and how they interrelate. When required, the "Work Breakdown Structure Dictionary" and the "Management Control Systems Description" normally required under CSCSC will be included in this section.
4. A description of the management systems employed to control cost and schedule performance, including a discussion of the organizational components responsible for cost and schedule management, and an explanation of planning, budgeting, accounting, and analytical procedures and systems.
5. A description of the technical support systems and controls employed to enable and control the planned technical results, including systems engineering, configuration management, quality assurance, safety engineering, environmental engineering, data processing, and any other systems, as applicable.
6. A description of the administrative support system's and controls employed to facilitate execution of the contract. The description should include an overview of those systems that support general corporate efforts but which are not dedicated to specific project activities.
7. For loans and loan guarantees, a description of the financial support systems and controls employed to ensure accomplishment of planned financial results, including income, expenses, cash, inventory, receivables, fixed assets, payables, current and long-term liabilities, equity, and any other applicable items.

A-2 Status Report

The "Status Report" is the participant project manager's concise narrative assessment of the status of the work being performed under the contractual agreement. DOE management uses the report to monitor status and to provide early recognition of potential problem areas. The report highlights changes to objectives, changes to technical approach, task variances from baseline in excess of stipulated thresholds by reporting element, causative factors, and actions taken or proposed to resolve them, as well as factors with potential for causing significant variances in the future. Task progress may also be highlighted. The report next identifies open items requiring action by DOE or the participant. The report also provides a summary assessment of the current situation, including a forecast of the near future and the expected impact on project accomplishment. The report may be accompanied by attachments. For contracts, the report includes, as attachments, funding status, funding by time period, and a cost change reconciliation.

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A-3 Summary Report

A summary presentation of integrated cost, labor, and schedule information for rapid analysis and trend forecasting. Most data are presented graphically.

B. SCHEDULE/LABOR/COST**B-1 Milestone Schedule Plan/Status Report**

A dual-purpose format to establish a baseline schedule and then indicate performance status for each reporting element identified in the award instrument.

B-2 Labor Plan

A baseline plan to allocate direct labor to each reporting element required by the contractual agreement.

B-3 Facilities Capital Cost of Money Factors Computation

The purpose of this form is to (a) accumulate total facilities capital net book values allocated to each business unit for the participant cost accounting period and (b) convert those values to facilities capital cost of money factors applicable to each overhead or general and administrative expense allocation base employed within a business unit.

B-4 Contract Facilities Capital and Cost of Money

The purpose of this form is to compute the estimated facilities capital to be employed for a specific contract proposal. An intermediate step is to compute the estimated facilities capital cost of money, using the Facilities Capital Cost of Money Factors developed on Form(s) CASB-CMF. This procedure is intended to be fully compatible with Cost Accounting Standard 414, "Cost of Money as an Element of the Cost of Facilities Capital", and extend those criteria and techniques to prospective periods for forward pricing purposes. Measurement of the amount of facilities capital employed is discussed in FAR 31.205-10.

B-5 Cost Plan

This establishes the plan for accruing total costs for the life of the contractual agreement.

B-6 Milestone Schedule Plan/Status Report

A dual-purpose format to establish a baseline schedule and indicate performance status for each reporting element identified in the award instrument.

B-7 Labor Management Report

A periodic report of the status of actual and projected labor expenditures and their variances from the approved "Labor Plan" for a contractual agreement.

B-8 Cost Management Report

A periodic report of the status of actual and estimated accrued costs and their variances from the current approved "Cost Plan" for a contractual agreement. The report will be used by the Government to monitor the status of the contractual agreement, verify the reasonableness of the participant's invoices, report costs accrued during the reporting period, and estimate costs to be accrued during the subsequent report period(s).

C. EXCEPTION REPORTS

These reports are used to inform DOE of any unusually significant events and document the participant's understanding of DOE/participant discussions.

C-1 Conference Record

Documents for the DOE project manager, DOE contracting officer, and the participant an understanding of significant decisions, direction or redirection, or required actions resulting from meetings with DOE representatives. It is required for any meeting, conference, or phone conversation in which a decision is made that may change the schedule, labor, cost, or technical aspects of the contractual agreement or the approved baseline plans.

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C-2 Hot Line Report

This is essentially an expedited "Conference Record." Identification as a "Hot Line Report" serves notice at each link in the delivery chain that speed in handling is required. Unless otherwise agreed by the parties involved, DOE is expected to take action and respond in a similarly speedy manner. These reports may be used to report a major breakthrough in research, development, or design; an event causing a significant schedule slippage or cost overrun; achievement or failure to achieve an important technical objective; or any requirement for quickly documented direction or redirection.

D. PERFORMANCE MEASUREMENT REPORTS

These provide information regarding the budgeted cost for work performed relative to the budgeted cost for work scheduled and the actual cost of work performed and provide for reporting data on performance measurement baseline maintenance and estimates at completion. Refer to DOE O 413.3-10 which EVMS for projects exceeding certain thresholds.

D-1 Management Control Systems Description

Performance measurement reports are normally required when the Cost and Schedule Control Systems Criteria of DOE 2250.1A are applied. However, the inclusion of the criteria in a solicitation or contractual agreement is not a requirement for submission of reports which are specified only by the "Reporting Requirements Checklist."

D-2 Work Breakdown Structure Dictionary

Management control systems Description and Work Breakdown Structure Dictionary are normally required of a contractor as part of "The Management Plan" when the cost and schedule control systems criteria are applied to a contract.

D-3 Cost Performance Report

A periodic report of budgeted, earned, and actual cost of work performed, and of budgeted and estimated costs at completion, with related variances by work breakdown structure element.

D-3a Work Breakdown Structure (Format 1)

Part 1-Index-The work breakdown structure index lists the preliminary work breakdown structure elements extended to the lowest level required. Specific project requirements may be added as needed. Work Breakdown Structure Dictionary Part II - Element Definition Part II describes the work breakdown structure elements contained in the Index and their relationship to design and funding documents. Specific project requirements may be added as needed.

D-3b Cost Performance Report - Functional Categories (Format 2)

A periodic report of budgeted, earned, and actual cost of work performed, and of budgeted and estimated costs at completion, with related variances, by functional organization.

D-3c Cost Performance Report - Baseline (Format 3)

This is a periodic report of revisions to the performance measurement baseline.

E. TECHNICAL-SCIENTIFIC AND TECHNICAL INFORMATION (STI)

The mission of the Office of Scientific and Technical Information (OSTI) is to advance science and sustain technological creativity by making R&D findings available and useful to Department of Energy (DOE) researchers and the American people. Ongoing strategies for accomplishing this mission. Office of Scientific and Technical Information (OSTI) requires that STI products and documents that provide findings, statistics, and analysis related to DOE research and development programs (excluding administrative documents) are appropriate for announcement to OSTI per DOE G 241.1-1A.

This information is to be submitted on the website <https://www.osti.gov/etlink/Technical Reports>, submitted on both a regular and as-required basis, are the primary means by which DOE disseminates scientific, technical, and engineering information acquired in the performance of DOE-supported efforts to the Department's researchers and program managers, and, when appropriate, the general public. This requirement shall be completed online per STI consists of information products, in any format or medium, derived from scientific and technical studies, work, or investigations that relate to research, development, demonstration, and other specialized areas such as environmental and health protection and waste management.

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Scientific and technical information products may be unclassified unlimited, sensitive unclassified, export controlled, classified, or declassified. DOE-funded STI originates primarily from research and other activities performed by contractors for management, operation, or integration of DOE-owned/leased facilities, direct DOE-executed prime procurements, DOE-operated research activities, and financial assistance recipients, in addition to DOE employees. The definition from DOE G 241-1.1A is as follows: Scientific and Technical Information (STI).

- STI consists of information products, in any format or medium, derived from scientific and technical studies, work, or investigations that relate to
- research, development,
- demonstration,
- and other specialized areas such as environmental and health protection and waste management.
- Scientific and technical information products may be unclassified unlimited, sensitive unclassified, export controlled, classified, or declassified.

F. OTHER REPORTS (not OSTI)

This is required when program manager or contracting officer desires a technical report that does not require filing under OSTI requirements. A draft and/or a final may be required.

G. MISCELLANEOUS OTHER REPORTS

This is for any other contractual reports that the Program Manager/Contract Specialist would like to highlight.

Information of reports not addressed here are available online. The PIDS information is not a form, but report information that may be required from the contractor.

Property Information Database System (PIDS)

Non-M&O contractors are reminded that information needs to be collected on federally-owned property as well as Contractor-Acquired property used in Conjunction with Cooperative Agreements, Grants, Interagency Agreements, Non-maintenance and operation cost reimbursement contractors, and fixed-priced contracts. This report reflects reporting of Contractor's property statistics for the fiscal year. This information is made available to Congressional and other offices. This provides the means for reporting DOE and Contractor held property as follows:

- Equipment items valued \$5K to \$49,999
- Equipment valued at \$50K and above
- Sensitive items regardless of value