

**Final
Request for Proposal – Idaho National Laboratory
May, 2004**

**PART III SECTION J, ATTACHMENT I
CONTRACT DATA REQUIREMENTS LIST**

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**Part III Section J, Attachment I
Contract Data Requirements List**

This document defines contract data deliverables required to be submitted to DOE by the Contractor during contract performance. The Contractor shall review this CDRL at least annually and provide any recommendations to the Contracting Officer. This CDRL will be updated as required over the life of the contract. Periodic CDRL status reports shall be provided to the Contracting Officer.

This list identifies deliverables to DOE and does not relieve the contractor of the responsibility to prepare and deliver any other data required by law or regulation.

This CDRL is organized as follows:

- A. Procurement
- B. Legal
- C. Industrial Relations
- D. Budget and Finance
- E. Personal and Real Property
- F. Environmental Requirements
- G. Safeguards and Security Requirements
- H. Operations, Safety, Health and Quality Assurance
- I. Programs

Appendix A (Data Item Description for deliverables D.1, D.2, and D.4)

The following notes are applicable to the CDRL table:

Note 1. A = Approval; C = Certification by DOE (required for some regulatory documents; certification requires hardcopy submittal); R = Review and comment; N = No action – Information only. Unless otherwise specified, the length of time for DOE review or approval will be 30 calendar days.

Note 2. This column identifies the position to receive delivery notification. Each deliverable will be available to DOE in electronic form per Section C.3 unless hardcopies are specified.

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Contract Data Requirements List (CDRL)

Item No.	Contract Reference	Title of Data Item	Data Item Description	Customer Or Program	DOE Action Note 1	Due Date And Frequency	Distribution and Notification Note 2
A. Procurement							
A.1	Section C, para 2.3.B.2	Annual Written Assurance Statement	Submit an annual certification by the Laboratory Director that the Contractor's management systems that meet all contract requirements		R	At contract takeover Annually October 1.	CO
A.2	Section C, para 2.3.G.3	Interface Agreement with ICP Contractor	Submit final Interface Agreement with ICP Contractor that identifies all cross-cutting issues and effected actions to be implemented		N	Final During transition period	CO
A.3	Section C, para 2.5.B	Final Transition Plan	Contractor's plan to accept responsibility for all work scope during transition period.		A	Submitted no later than 10 working days after contract Takeover	CO
A.4	Section H, Clause H.4 DEAR clause 970.5203-1(b).	Contractor Assurance System	Submit a Contractor Assurance System in accordance with contract clauses.		R	Draft - October 1, 2005 Final - December 31, 2005 Updates – when issued	DOE Manager CO
A.5	Section H, Clause H.5	Directives and Alternatives	See Section H, Clause H.5 for required content and need.		A	As needed.	CO
A.6	Section J, Attachment I	CDRL Status	Quarterly Status reports showing all items scheduled and the status of delivery for the prior quarter; any items overdue from Contractor with their recovery plan; any items for which Government action is overdue.		N	January 10, April 10 July 10 October 10	CO
A.7	H.44	Conflict of Interest Compliance Plan	The Contractor shall submit a Conflict of Interest (COI) Compliance Plan to the CO for approval		A	60 days after contract award	CO OCC
A.8	H.36 I.39 Dear 970.5228	Litigation Management Plan	Litigation Management Plan to control the legal costs and comply with the DOE policy.		A	Submit within 90 days of contract takeover	CO OCC
A.9	I.30	Conflicts of Interest – Technology Transfer	Contractor shall provide implementing procedures that seek to avoid employee and organizational COIs, or the appearance of COI, in the conduct of its technology transfer activities.		A	Final approval by CO within 60 days of contract award	CO Tech Transfer
A.10	I.35 I.37	Patent Rights	Report of Patent Rights as required by contract clause.		R	As required	CO Tech Transfer
A.11	C. 2.3.C	Minorities and Women in Senior Technical and Management Positions	Submit a plan for recruiting and retaining highly skilled, world class talent, including minorities and women in senior technical and management positions.		A	180 days after contract award.	CO
A.12	I.25	Diversity Plan	Diversity Plan - The Plan shall include innovative strategies for increasing opportunities to fully use the talents and		A	Within 90 days of contract takeover,	CO

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			capabilities of a diverse work force. The Plan shall address at a minimum, the Contractor's approach for promoting diversity through (1) the Contractor's work force, (2) educational outreach, (3) community involvement and outreach, (4) subcontracting, (5) economic development (including technology transfer) (6) policies and practices, (7) recruitment strategies, and (8) employee concerns.			annual updates	
A.13	H.35	Small Business Subcontract Plan	The Small Business Subcontracting Plan submitted by the Contractor identifying consideration for small business, local and Idaho businesses.		A	Contract Award, Annual updates	CO SB
A.14	FAR 52.219-9	SF 294, Subcontracting Report for Individual Contracts	Standard Form 294, Subcontracting Report for Individual Contracts. This report shall be submitted to the CO semiannually and at contract completion.		A	Semiannual updates Feb. Aug. contract completion	CO SB
A.15	FAR 52.219-9	SF 295, Summary Subcontract Report	Standard Form 295, Summary Subcontract Report. Requirements differs for type of subcontract.		A	Semiannual Mar. Sept. contract completion	CO SB
A.16	DOE O 221.2 H.22 I.10 I.43	Internal Audit	Annual internal audit and examination of records, operations, expenses, and transactions with respect to costs claimed to be allowable.		A	Annually, NLT June 15 Quarterly Status	CO FSD
A.17	I.42	Statement of Costs Incurred and Claimed	Certified Cost Statement for the total of net expenditures accrued (i.e., net costs incurred) for the period covered by the Cost Statement.		A	Annually Before Oct. 30th	CO FSD
A.18	I.43	Disposition of Income	Annual plan on planned spending of royalties and other income from authorized technology transfer activities		A	Annually Before Oct. 30th	CO FSD
A.19	I.30	Technology Transfer Records	Report on INL's technology transfer activities.		A	Annually	CO Tech Transfer
A.20	I.30	Technology Transfer Plan	Plan for conducting its technology transfer function for the upcoming year.		R	Annually, October 1st	CO Tech Transfer
A.21	I.21	Exempt and Non-exempt employees	Submission of a semi-annual report that includes for exempt and non-exempt employees: (i) Total cost of overtime; (ii) Total cost of straight time; (iii) Overtime cost as a percentage of straight-time cost; (iv) Total overtime hours; (v) Total straight-time hours; and (vi) Overtime hours as a percentage of straight-time hours.		R	Semiannual Mar. 30 Sept.30	PSD IR
A.22	I.18	Make-or-buy plan	Submit a make-or-buy plan and updates.		A	Initial within 180 days of contract takeover; Annual updates as required; 90 days prior to start of negotiations of any extension	CO OCC

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A.23	I.21	Overtime notification	Notify the CO when in any given year it is likely that overtime usage as a % of payroll may exceed 4%.		N	As required	CO
A.24	I.21	Overtime Plan	Submit an overtime control plan as required by contract clause.		A	As required	CO
A.25	DOE N 142.1, Section C, para 2.3.E.2.d	Foreign National Employment	A semiannual report on total foreign national employment.		R	As requested	CO
A.26	I.54	Contractor Purchasing System	Implement purchasing system and future revisions as required by contract clause.		R	At contract takeover. Revisions when issued	CO
A.27	I.10	Management Controls System	Documented Management Controls System in accordance with contract clause.		R	At contract takeover; Revisions when issued	CO
A.28	I.12	Contractor's Organization	Submit organization chart and any future revisions in accordance with contract clause.		N	At contract takeover Revisions when issued	CO
A.29	I.23	Affirmative Procurement Report	Submit reports in accordance with contract clause.		N	Annually December	CO
A.30	I.54	Self-Assessment Plan	As required by DEAR clause 970.5244-1 and Balanced Scorecard requirements.		A	Annually October	CO
A.31	I.54	Quarterly reports	As required by the approved purchasing plan and the approved annual Balanced Scorecard self-assessment plan; includes quarterly purchase card report.		R	Quarterly	CO
A.32	I.54	Self-Assessment Report	As required by DEAR clause 970.5244-1 and Balanced Scorecard requirements.		A	Annually November	CO
A.33	I.22	FOCI	Written notice to the CO of any changes in the extent and nature of FOCI which would affect the answers to the questions presented in DEAR 952.204-73. Further, notice of changes in ownership or control which are required to be reported to the Securities and Exchange Commission, the Federal Trade Commission, or the Department of Justice shall also be furnished concurrently to the CO.		R, A	As required	CO Security
A.34	I.35	Consultant or other Comparable Employment Services	The contractor shall transmit to the CO all information obtained from employees regarding consultant or other comparable employment services.		A	Annually	CO
A.35	H.14	Joint INL and ICP Contractor Plan for Services	Provide a joint INL- ICP Contractor detailed plan addressing all indirect funded services as listed in Section J, Attachment F-6, beyond January 31, 2007. This plan shall address both the function and the personnel, and how both the INL and ICP Contractors will continue or reduce those services.		A	Final, No Later than August , 2006	
A.36	C.2.3.G.2.b	MOU between ICP and INL for "Other Site Services"	MOU signed by ICP and INL Contractors detailing how all services in Section J, Attachment F-6.2 will be divided and performed between February 1, 2005 and January 31, 2007.		R	Final by 1/31/05, updates if revised	CO

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B. LEGAL							
B.1	I.39, 10 CFR 719.17	Annual Legal Budget	Annual budget covering current pending matters.		N	Annually Date TBD	OCC
B.2	35 U.S.C. 3515; OMB SFFAS No. 5;	Annual Contingency Liability and Assets Report	Anticipates potential liabilities and assets from current and potential litigation for the upcoming fiscal year.		N	Annually Date TBD	OCC
B.3	I. 39; 10 CFR 719.41	Quarterly Status Report	Reports are to report all approved costs and status updates for all matters involving retained counsel, including but not limited to contractor litigation.		N	Jan. 15 Apr. 15 July 15 Oct. 15	OCC
B.4	I.39; 10 CFR 719.36	Legal Services Invoices	Information copies of subcontractor invoices for all legal services.		R/N	Monthly Day TBD	Litigation Management Attorney
B.5	I.38	Risk Management & Liability Programs	Submit all Risk Management and Liability Insurance policies and plans and changes thereto for approval.		A	As required	Signed Copy to OCC
B.6	H.18	Annual Workers Compensation Open Claims Report	Summary for the year showing total number of claims, total amount paid for each claim, and total for all claims.		N	Annually	OCC
C. INDUSTRIAL RELATIONS							
C.1	H.16	Davis-Bacon Semiannual Report	Report of any DB violations and investigations.		R	April 1, and Oct. 1 of each year	IR Office (signed)
C.2	Section H, Clause H.14 and H.18	Contractor's Employee Management Plan	Plan that establishes management structures to conduct employee relations.		R, A	Annual December 15,	DOE Manager DOE CO DOE CF&AOIR Office
C.3	H.30 I.26	Workforce Restructuring Actions/Plan	Comply with requirements of the DOE Restructuring Plan and the HQ Planning Guidance for Contractor Workforce Restructuring.		A	Upon any restructuring action	IR Office
C.4	H.14	Individual Salary Actions	Submit for review and approval salary actions for the President and all senior executives reporting to the president making over \$100K/year.		A	As required.	Two copies of signed DOE Form 3220.5 to the IR Office
C.5	H.18	Contractor Salary-Wage Increase Expenditure Report	Report for salary/wage expenditures.		R	Annually upon request from Headquarters	IR Office
C.6	H.18	Marketing tests for allowability and reasonableness of costs for welfare benefit programs	Conduct Value Studies and comparisons to the U.S. Chamber of Commerce Employee Benefit Survey.		A	Every 3 years, Initial Sept. 05	IR Office (signed hardcopy)
C.7	H.14	Benefit Plan Approvals	Submit all benefit plans and changes thereto, to the CO for approval before implementing.		A	As required	CO IR Office
C.8	H.14	Approval of all Retirement/Pension Plans	Submit for approval all proposed retirement/pension plans and changes before implementation.		A	As required.	IR Office
C.9	Section H, Clause	Pension Plan Annual	Provide an annual Actuarial Valuation Plan and report for each DOE		A	Annually, September	DOE Manager DOE CO

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	H.14(c)(3)(iii)	Actuarial Valuation Report	reimbursed retirement/pension plan.				IR Office - Five copies of published document received from the actuary
C.10	H.14	IRS Forms 5500	Provide copy of IRS submittal. Submit Annual Return/Report of Employee Benefit Plan with Schedules.		N	Annually	IR Office
C.11	H.14	IRS Form 5300	Submit IRS Form 5300, Application for Determination for Employee Benefit Plan, with Schedule.		N	Annual	IR Office
C.12	H.14	Special pension programs	Receive approval for any Submit special pension programs such as Early-Out Retirement Programs.		A	As required	IR Office
C.13	H.14 H.18	Report of Settlement	Provide the CO with a summary of settlement after each agreement on a new Collective Bargaining Agreement.		R	As required	IR Office
C.14	H.14	Monthly Headcount Report by Area	(a) Provide contractor headcount information by organization and area location. (b) Provide Contractor Headcount information by category of exempt, non-exempt, union, etc.		R	Monthly	IR Office
C.15	H.14, H.18	Workforce Information System (WFIS)	An electronic report providing data on the (a) number of exempt, nonexempt, bargaining unit, non-bargaining unit employees and retirees; (b) payroll costs by a variety of categories; (c) insurance costs; (d) benefits costs/plans;(e) compensation costs by hours of work by various categories; (f) workforce restructuring actions (g) employee supplemental compensation (h) collective bargaining agreements, settlement dates (i) employment by EEO categories. Electronically submitted through WFIS.		A	(a) – (g) Annually (h) As revised (i) Quarterly	IR Office
D. BUDGET and FINANCE							
D.1	H.23	Project Management System	Project Management System Document (see Appendix A)		A	Initial 60 days after contract award, and as revised	CO & Budget Director
D.2	H.23, H.21	Baseline	Program Baseline submittal in compliance with Appendix A and approved Project Management System. All work, including indirect funded work, will be prioritized and align with HQ fund sources/reporting requirements. (see Appendix A)		A	Initial - 6 months after award, Annually by July 1	Budget Director
D.3	H.21	Annual Reports	Annual R&D report, Annual Education Report, Differential Report on Federal Administrative Charges, Year end Uncosted Analysis, Etc.		N	Annually, March	Budget Director
D.4	H.21, H.23	Baseline Reporting	Baseline reporting as required by Appendix A.		R	10 th of each Month	Budget Director
D.5	H.23, H.21	WFO proposals	Work For Others proposals, scope, schedule, cost, management documents.		A	Monthly	Budget Director
D.6	H.23	Ad Hoc Requests	Ad Hoc requests (i.e., Congressional inquiries, HQ data requests).		A	Per CO letter	Budget Director
D.7	DOE O 130.1	UNICAL	Budget Formulation documents, crosscuts, data sheets, etc.		A	Per CO letter and UNICAL Guidance	Budget Director

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D.8	H.23, H.21	Change Control	Change control forms and supporting documentation as outlined in the Program/Project Management Plan		A	As required	CO & Budget Director
D.9	DOE O 412.1	Work Authorization	Work Authorization Documents.		A	Returned within 5 days of receipt	Budget Director
D.10	H.23	Environmental Liability	Environmental Liability Information support.		A	Per CO Letter	CO Budget Director
D.11	I.44	Limitation of Funds	80% limitation of funds notification.		A	As Necessary	CO Budget Director
D.12	DOE O135.1	Project Authorization	Project Authorization and Associated Financial Plan Adjustments.		A	Monthly	CO Budget Director
D.13	H.21 I. 43	Functional Cost Report	Indirect and support costs by function.		R	Annual, December	FSD Director
D.14	I. 48	Monthly FIS Cost File	Provide contractor Management and Reporting System (MARS) monthly cost reporting and file feed to DOE within the required DOE scheduled submittal timeframes. Electronic file saved to the HP.		A	Monthly Noon 2 nd Calendar work day	FSD Director FIS Accountant
D.15	I.48 DOE Order 534.1B	Year End Financial Statements & Disclosure Information	Provide other reports as required per the COs annual schedule.		R	Annual October	FSD Director Lead FIS Accountant
D.16	I.43	Quick Look Report	Provides summary cost and financial information.		R	Monthly, 15 days after end of month, starting after the end of the first quarter	FSD Director
D.17	I.43 H.21	Indirect Cost Baseline & Out Year Planning Rate submission	Compiles and submits to DOE an annual execution year indirect cost baseline document that summarizes indirect costs by service/activity, including company level rates and billable rates for recoverable services, funded by their indirect rate structure. For purposes of indirect recovery the cost level B&RC or lower is the final cost objective.		A	Annual, September	FSD Director
D.18	I.43	Travel Cost Report	Collect and report travel costs incurred by the contractor for both domestic and foreign travel.		R	Quarterly, 10 th day following Quarter end	FSD Director
D.19	I. 43	Travel Certification Report	Certification of all travel being reasonable and for necessary functions Certification Letter hard copy signed with reference to the electronic file.		R	Annual, October, as part of year end schedules and reports	FSD Director
D.20	I.48 I.43 DOE 534.1B	Quarterly & Annual Financial Statements	Financial Statement Reporting, including footnote disclosures and analyses.		R	End of each fiscal quarter	FSD Director
D.21	Section I FAR 52.230-2 FAR 52-230-6	CAS Disclosure Statement	CAS Disclosure Statement describes the contractor's accounting practices that they will be using for contract performance per Cost Accounting Standards. Signed Certification Letter.		A	Initial and when Accounting Practices Change	FSD Director & CO (original)
D.22	Section I FAR 52.230-2 FAR 52-230-6	Accounting Practice Change Notification	Describes contractor proposed accounting practice change including impact analysis at the major program level associated with change		A	As accounting practices change	FSD Director

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D.23	DOE O 2110.1A, Change 2	Pricing Exception Report	Provides report of waivers from full cost recovery approved during the quarter in pricing department materials & services		A	Quarterly Jan, April, July, Oct.	FSD Director
D.24	H.21 DOE O 413.2A I.43	LDRD Reporting	Annually record LDRD costs, scope, into the Department's LDRD database. Input data into the DOE HQ database via internet.		R	Annual	FSD Director
D.25	I.43 DOE O 534.1B	Report on Receivables due from the Public (220.9 Report)	Provide collection and aging information about receivables due from the public as defined by the supplement to Volume I of the Treasury Asset Management Manual, "Instructional Workbook for Preparing the Report on Receivables Due From The Public". Fiscal Year MARS Interim and Year End reporting requirements from OFCR Debt Collection Act of 1982 and the Debt Collection Improvement Act of 1996		R	Quarterly, 5 th working day after quarter end	FSD Director
D.26	I.43 DOE O 534.1B	International Transactions Report (A-65 Report)	Provide collection and disbursement information about transactions with other nations. Fiscal Year MARS Interim and Year End reporting requirements.		R	Quarterly, 5 th working day after Quarter end	FSD Director
D.27	DOE O 534.1B	Detail submission into DIMS (Departmental Inventory Management	Provide dollar value of Special Nuclear Materials reported in DOE DIMS. Fiscal Year MARS, Interim Fiscal Year MARS, Interim and Year End reporting requirements.		R	9 th working day after year FY end	FSD Director
D.28	I.43 DOE O 534.1B	Tracking of Technology Transfer Third-party Receipts Report	Provide financial information (sources and disbursements) for Tracking of Technology Transfer Third-party Receipts. Fiscal Year MARS Interim and Year End reporting requirements.		R	10th working day in January	FSD Director
D.29	I.43 DOE O 534.1B	Quantity and Usage Data Report	Provide DISCAS Asset-Types for Stores Inventories change. Fiscal Year MARS Interim and Year End reporting requirements.		R	5th working day after FY end	FSD Director
D.30	DOE O 534.1B	Current Status of Accounts Receivable from Foreign Obligors Report	Financial information about Receivables from Foreign Obligors. Fiscal Year MARS Interim and Year End reporting requirements.		R	5th working day after year- end	FSD Director
D.31	I.43 DOE O 534.1B	Report of Waiver of Claims for Erroneous Payment	Report erroneous payments and steps taken to prevent errors in future payments.		R	Quarterly and Fiscal Year End 10th work day after quarter and FY end	FSD Director
D.32	I.43 DOE O 534.1B	Financial Statement Analysis, Footnote Disclosures, and Supplementar y Stewardship Information	Report financial information as required by HQ call letter. Fiscal Year MARS Interim and Year End reporting requirements.		A	Quarterly and Fiscal year end, 15 th calendar day of month following quarter and FY end	FSD Director
D.33	I.43 DOE O 534.1B	Report of Audit Recoveries	Report provides contractor results of recovery audit programs, which identify payment errors and recovery of amounts overpaid.		A	Annual October	FSD Director

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D.34	DOE O 534.1B	Report on Estimated Foreign Currency Collections & Expenditures	Report financial transactions made in foreign currency. Fiscal Year MARS Interim and Year End reporting requirements.		R	Fiscal Year End November 5 th	FSD Director
D.35	DOE O 534.1B	Report on Unfunded Foreign Currency Reservations Accounts	Report financial transactions made in foreign currency. Fiscal Year MARS Interim and Year End reporting requirements.		R	Fiscal Year end by November 5 th	FSD Director
D.36	DOE O 534.1B	Documentation on Year End problems	Identify any problems incurred during Year End Closing and Reporting. Fiscal Year MARS Interim and Year End reporting requirements.		R	Fiscal Year end, by January 10 th	FSD Director
D.37	H.21	Annual Management Representation Letter	Assertions made pertaining to the integrity of the financial information provide to HQ for the Consolidated DOE Financial Statements. Government Reform Act of 1994.		R	Fiscal Year End, 7th working day of October	FSD Director (original certification)
D.38	DOE O 413.1A	FMFIA Annual Assurance Memo	A report on the status of the Contractor's management controls for all programs and administrative functions including problems identified, progress made in correcting prior reportable problems, and make an assessment about the integrity of contractor financial systems.		R	5th working day of August	FSD Director (original certification)
D.39	I.42	Report of Status of Federal Funds Drawn from Treasury ASAP System	Report providing daily draws and account balance.		R	Monthly 15 th Working Day	FSD Director
D.40	DOE O 221.2, H.22 I.10 I.43	OIG Referrals	Reports of audits / reviews performed by the M&O Contractor Internal Audit organization requested as-needed by DOE in response to OIG allegations concerning the M&O Contractor.		R	Within 15 calendar days of request	FSD Director
D.41	DOE O 221.2, I. 43, H.22, I.10	DOE requested audits	Reports of audits / reviews performed by the M&O Contractor Internal Audit organization.		R	As finalized by the Internal Audit organization	FSD Director
D.42	I.43, DOE O 2300.1B	Status report on corrective action to external audit recommendations	Status report on corrective action to external audit recommendations for department audit reporting and tracking (DARTS) purposes.		R	Quarterly Dec. 1 st Mar. 1 st June 1 st Sept. 1 st	FSD Director
D.43	I.43, H.21, DOE O 2110.1A	Ad-Hoc Reports	Ad-Hoc reports to establish rates that will be used in pricing activities/services to ensure full cost recovery objectives.		R	Per CO request	FSD Director
D.44	I. 16	Printing & Publishing Activities 3 Year Plan	Identifies printing & publishing information to HQ.		R	Annually November	FSD Director
D.45	I. 16	Commercial Printing Report JCP Form 2	Identifies printing & publishing information to HQ.		R	Semi-Annual Apr., Oct.	FSD Director
D.46	DOE M 573.1-1	Annual Mail Management Report	Identifies mail information to HQ.		R	Annually February	FSD Director

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D.47	I.43	Treasury 224 Reporting Submittal to DOE	Treasury payment reconciliation requirements. Fiscal Year MARS Interim and Year End reporting requirements.		R	Monthly 3 rd Working Day	FSD Director
E. PERSONAL and REAL PROPERTY							
E.1	I.55	Excess Personal Property Furnished to non-Federal Recipients in any manner, including Abandonment, Destruction or Donation to Public Bodies	Personal Property Transferred under the Used Energy-Related Laboratory Equipment Grant Program, the Education and Research Transfer Program (ERTP) Executive Order 12999, and for Economic Development.		A	Whenever property is exceeded	FSD Director
E.2	I.55	Property Management System and Baseline Government Property Inventory	Reporting requirement. TBD based on SDB targets.		A	Submit within 180 days of contract award	CO ID Property
E.3	I.55	Excess Personal Property Report	Excess Personal Property Report.		R	Annually October 31 st	FSD Director
E.4	DOE P 580.1	Non-Expendable Personal Property Activity	Additions and Deletions by Line Item and Acquisition Costs.		R	Fiscal Year End Oct. 31 st	FSD Director
E.5	I.55	Physical Inventories	Inventory Summary Report of Sensitive Items Having an Acquisition Cost of \$2,000.01 or More including Fire Arms, Ammunition, and Military Property.		R	Annually January 31 st	FSD Director
E.6	I.55	Subcontractor Annual Inventory Report	Physical Inventory Results With Total Acquisition Costs of Government Property in Possession.		N	Annually January 31 st	FSD Director
E.7	I.55	Stores and Warehouse Inventory	Summary of Reconciled Results of Physical Inventories.		R	Annually January 31	FSD Director
E.8	I.55	Stores Inventory & Warehousing Activity	Additions & Deletions By Line Item & Acquisition Cost.		R	Annually January 31 st	FSD Director
E.9	I.55	Precious Metals Forecast for Withdrawals and Returns	3-Year Forecast for Returns and Withdrawals of Precious Metals.		R	Annually December 1 st	FSD Director
E.10	I.55	Precious Metals Inventories	Tracking System Accounting for all DOE-owned Precious Metals Regardless of Location.		R	Annually January 31 st	FSD Director
E.11	I.55	Negotiated Sales Report	An annual report describing any negotiated disposals of surplus personal property having an estimated fair market value of more than \$5,000.		R	Annually October 31 st	FSD Director

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E.12	I.55, DOE P 580.1	Property Performance Objectives and Measurements & Self-Assessment Reports	Property performance objectives and measurements and reports of self-assessments.		R	Annually January 31 st	FSD Director & HQ
E.13	I.55	Capital Equipment Inventories	Inventory Summary Report of All Capital Items.		R	Every two years January 31 st	FSD Director
E.14	I.55	Physical Inventories	Wall-To-Wall Inventory Summary Report of Sensitive Items Having an Acquisition Cost of \$2,000 or Less (Except for Arms, Ammunition, and Military Property).		R	Every three years January 31 st	FSD Director
E.15	I.55	Community Reuse Organization (CRO)	Reports all eligible assets for Community Reuse Organization Screening. Disposal action will resume for these assets unless a CRO request is received.		A	Monthly (by 10 th)	FSD Director
E.16	I.55, I.56	Federal Automotive Statistical Tool System (FAST)	Reports Fiscal Year fleet vehicle data. Data collected in FAST is used to support the Department of Energy's and NNSA compliance with the Energy Policy Act, EO 13149 and the GSA SF-82 Report.		N	Annually October 31 st	FSD Director
E.17	I.55	Vehicle Utilization Report	Reports Monthly Motor Equipment Utilization for all INL Fleet. The annual report to HQ shall be an accumulation of the entire year.		R	Monthly to ID Annual to HQ April 1 st	FSD Director HQ
E.18	I.55	Vehicle Utilization Business Cases	Business Case Justification For Retention of Any Permanently Assigned Vehicles Not Meeting Approved Vehicle Utilization Standards.		A	Annually December 31 st	FSD Director
E.19	DOE P 580.1	DOE On-line Sales E-Bay, BID 4 Assets, etc.	Reports Net Sales data for property sold on-line.		N	Quarterly Oct., Jan., Apr., Jul.	FSD Director
E.20	DOE P 580.1	DOE-HQ Property Information Database (PIDS)	DOE Contractors categorically manage and report property volumes and original acquisition dollar values of government-owned property annually.		N	Annually January	FSD Director
E.21	I.55	Exchange - Sale Report	For any property exchanged or sold the pertinent FSC group, number of items, OAC, exchange allowance or sales proceeds, and source from which the property was originally acquired.		R	Annually December 1 st	FSD Director
E.22	I.55	End-User Reporting	A Web-based application, this process assists DOE with the control & management of government property. The end-user process correctly assigns assets to the correct user and updates the INL electronic property record system to reflect the assignments.		N	Annually January 31 st	Electronically On-Line Reporting
E.23	I.55	Report of Exempted Vehicles	Report of exempted vehicles from requirement of displaying U.S. Government tags & other identification. Request & justify the need for temporary removal and substitution of Government markings.		A	Annually April 1 st	FSD Director
E.24	I.55	Agency Purchase and Lease of Motor Vehicles	Vehicle leases not procured through the GSA Automotive Commodity Center, unless a waiver resulting from a GSA study is in effect.		A	Annually December 1 st	FSD Director

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E.25	I.55	Alternate Fuel Motor Vehicle Report	Reports annual agency performance data on meeting the goals of EO13149.		R	Annually December 1 st	FSD Director
E.26	I.55	Annual Real Property Disposal Report to GSA	Identifies to GSA real property disposals for the year.		R	Annually October 31 st	FSD Director
E.27	I.55	Real Property Report to HUD	Identifies disposable real property to HUD		R	Annually January 1 st	FSD Director
E.28	I.55	Randolph-Sheppard Act Report to HQ	Identifies number of cafeterias/snack bars on site		R	Annually January 1 st	FSD Director
E.29	I.55	McKinney Act Report to HQ	Identifies disposable real property to HUD		R	Quarterly Jan., Jul., Apr., Oct.	FSD Director

F. ENVIRONMENTAL REQUIREMENTS

F.1	FFA/CO and OU 10-08 Remedial Investigation/ Feasibility Study (RI/FS)	New Site Identification Forms	Use for any discovery of previously unknown soil or groundwater contamination from past operations. Location, type and extent of contamination.		R, A	As Needed	DOE-EM/ER FFA/CO Lead
F.2	DOE O 450.1, Idaho Code 50, City of Idaho Falls Municipal Code Chap. 1, Sec. 8	Quarterly Environmental Surveillance and Compliance Monitoring Samples	Report all scheduled environmental surveillance and compliance monitoring samples.		N	Quarterly: 12/5, 3/15, 6/15, 9/15.	ETSD Director
F.3	DOE O 450.1 40 CFR 370 & EO 13186.	EPCRA 311 Quarterly Reports	EPCRA 311 Quarterly reports. DOE submits to EPA (1/1, 4/1, 7/1, 10/1).		R	Quarterly to DOE: 12/5, 3/15, 6/15, 9/15.	ETSD Director
F.4	DOE O 450.1 40 CFR 370 & EO 13186.	EPCRA 312 Annual Report	Annual EPCRA 312 report certified by the contractor. DOE submits annually 3/1 to EPA.		R, C	Annually to DOE: 2/14	ETSD Director
F.5	DOE O 450.1 40 CFR 372 & EO 13186	EPCRA 313 Report	Annual EPCRA 313 report certified by the contractor. DOE submits to EPA.		R, C	Annual: 6/1 to DOE To EPA 7/1	ETSD Director
F.6	40 CFR 152 – 180, & Idaho Code Chapter 43, Section 22-3401 to 22-3426.	Annual Pesticide Usage Report	List of Approved Pesticide Usage		R	Annual: 9/30	ETSD Director
F.7	DOE O 450.1 INL Partial Permit II.J.2 & 40 CFR 264.73 (b)(9)	Annual Pollution Prevention Certification	Supply certification for the Annual Pollution Prevention Certification to DOE. Contractor submits to regulators.		R, C	Annually, June 1	ETSD Director DEQ
F.8	40 CFR 761.65 (a) (2) (ii)	TSCA Document Log & Annual Inventory	Site-wide TSCA Document Log and Annual Inventory in accordance with EPA letter dtd 11/26/99. Contractor submits to regulators by July 1.		R	Annually: DOE-ID June 1	ETSD Director EPA
F.9	40 CFR 761.65 (a) (2) (ii)	TSCA Radioactive Waste Inventory	Site-wide TSCA Radioactive Waste Inventory in accordance with EPA letter dtd 11/26/99. Contractor submits to regulators by July 1.		R	Annually: DOE-ID June 1	ETSD Director EPA
F.10	DOE O 231.1 DOE O 450.1	Annual Site Environmental Reporting	Applicable information for inclusion in the Annual Site Environmental Report to DOE-ID.		R	Annually: Data by March 1, Report sections by June 30	ETSD Director

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F.11	DOE O 450.1	Surface Radiation Surveys Report	Letter report to document results from the surface radiation surveys to DOE-ID.		R	Annually: Jan 31	ETSD Director
F.12	DOE O 450.1	Environmental Monitoring Plan Updates	Update the INL Environmental Monitoring Plan.		A	Annually: April 30	ETSD Director
F.13	City of Idaho Falls Municipal Code Sewer Ordinance 8-1-37c	Monthly Pretreatment Reports	Copy of Monthly Pretreatment Reports (pH logs) to the City of Idaho Falls. Certified by contractor. Contractor submits to City.		N	Monthly: last day of month	City of Idaho Falls; ETSD Director
F.14	DOE O 450.1	Annual Groundwater Monitoring Plan	Annual Groundwater Monitoring Plan and revision, as needed.		A	Annually, if needed	ETSD Director Distribution after approval
F.15	City of Idaho Falls Municipal Code Sewer Ordinance 8-1-37c DOE O 450.1	IRC Liquid Effluent Reports	Copy of semi-annual IRC Liquid Effluent Reports to the City of Idaho Falls. Certified by contractor. Contractor submits to City.		N	Semi-Annually: Dec 31 & June 30	City of Idaho Falls; ETSD Director DOE-ID IRC Facility
F.16	IDAPA 58.01.08	Drinking Water Fee Assessment	Copy of Annual Drinking Water Fee Assessment to the State of Idaho. Contractor submits to regulators.		N	Annually: Oct 30	State of Idaho Division of Environmental Quality (DEQ) ETSD Director
F.17	DOE O 450.1 IDAPA 58.01.08	Drinking Water Reports	Copy of Quarterly Drinking Water compliance analytical results to DOE after receipt from analytical laboratory.		R	Quarterly results as provided to DEQ by analytical laboratory.	ETSD Director
F.18	DOE O 450.1 IDAPA 58.01.17	Annual Wastewater Land Application Permit (WLAP) Report	Annual Wastewater Land Application Permit (WLAP) Report certified by the contractor to DOE. Contractor submits to regulators by March 1.		R	Annually: DOE-ID Feb 21	ETSD Director
F.19	DOE O 5400.5 Change 2	Best Available Technology (BAT) Update Report	Best Available Technology (BAT) Update Report for any discharge to soil with any potential radiation release.		A	Annually: Sept 30	ETSD Director
F.20	IDAPA 37.03.09	Fees for Construction of Ground Water Monitoring Wells	Fees for Construction of Ground Water Monitoring Wells. Contractor submits to regulators Jan 30.		R	Annually: DOE-ID Jan 15	ETSD Director; Idaho Department of Water Resources (IDWR)
F.21	DOE O 450.1 IDAPA 37.03.03	Shallow Injection Well Report	Shallow Injection Well Report (and verify status and condition of 20% of the wells).		R	Annually: August 30	ETSD Director
F.22	IDAPA 37.03.03	Deep Injection Well Permit Renewals	Deep Injection Well Permit Renewals, as required, to DEQ. Certified by contractor. Contractor submits to regulators.		R	As Required	ETSD Director; DEQ
F.23	INL Water Rights Agreement	Comprehensive Well Inventory and the Annual Water Use Report	Submit the Comprehensive Well Inventory and the Annual Water Use Report (combined). Contractor submits to regulators June 28.		R	Annually: May 28 to DOE	ETSD Director; IDWR
F.24	DOE O 450.1	Annual Revegetation Assessments	Report Annual Revegetation Assessments for disturbed sites.		N	Annually: August 31	ETSD Director [E]

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F.25	40 CFR 141-143	Source Water Assessments	Source Water Assessments Report for drinking water, revise as necessary to maintain accuracy. Contractor submits to regulators.		R	As needed.	ETSD Director; DEQ
F.26	DOE O 450.1 40 CFR 61 Subpart H	Annual NESHAPS Radioactive Emission Report	Annual Site-Wide NESHAPS radioactive emission reporting certified by the contractor. DOE submits to regulators June 30.		R, C	Annually: May 31 ^s to DOE	ETSD Director; EPA DEQ State of Idaho INL Oversight Office Distribution
F.27	DOE O 450.1 IDAPA 58.01.01.389.	Annual Title V Significant Source Criteria Air Pollutant Emission Inventory for Fee Purposes	Annual Title V Significant Source Criteria Air Pollutant Emission Inventory certified by the contractor. DOE transmits to DEQ April 1.		R, C	Annually: March 1 to DOE.	ETSD Director
F.28	DOE O 450.1 IDAPA 58.01.01.223. 05	Toxic Exemption Air Pollutant Report	Toxic Exemption Air Pollutant Report certified by the contractor. May 1.		R, C	Annually: April 1 –DOE	ETSD Director; DEQ
F.29	DOE O 450.1 40 CFR 51 Subpart Q	DEQ Triennial Air Emission Inventory	DEQ Triennial Air Emission Inventory certified by the contractor. Next due date expected in May 2006. Maintain the air emissions inventory database. Contractor submits to regulators.		R, C	To DOE 30 days prior to DEQ deadline	ETSD Director Copies for facility reviews. DEQ
F.30	DOE O 450.1 PTC # 023- 00001	Quarterly SMC PTC Reports	Quarterly SMC PTC Reports, certified by the contractor. Contractor submits to DEQ (4/30, 7/30, 10/30, 1/30)		R, C	Quarterly, to DOE 10 working days before DEQ deadline	ETSD Director DOE-ID SMC Program DEQ
F.31	DOE O 450.1 40 CFR 70 and IDAPA 58.01.01.300s	Title V Operating Permit (IRC and INL)	Reports required by the Title V operating permit, certified by the contractor. DEQ deadline is 30 days after the end of the reporting period for semi-annual and annual reports. Contractor submits to regulators.		R	To DOE 15 working days prior to DEQ deadline stated in permit	ETSD Director; DEQ DOE-ID IRC Facility (for IRC Title V)
F.32	DOE O 450.1 40 CFR 50	Clean Air Act Prevention of Significant Deterioration increment tracking	Maintain the PSD increment tracking system current with site sources and provide a PSD Increment Consumption status as requested.		N	As requested.	ETSD Director
F.33	40 CFR 60 Subpart Kb	Semi-annual Fuel Certification Report (Subpart Dc report)	Semi-annual Fuel Certification Report (Subpart Dc report) certified by the contractor. Contractor submits to EPA & DEQ by 4/30 and 10/30		R, C	Semi- Annually: April 15 & Oct 15 to DOE	ETSD Director; EPA Region X; DEQ
F.34	40 CFR 61 Subpart M	Annual NESHAPS Asbestos Notification	Annual NESHAPS Asbestos Notification certified by the contractor. Contractor submits to regulators by 12/21.		R	Annually: Dec 1 to DOE	ETSD Director; DEQ
F.35	40 CFR 61 Subpart M	Annual NESHAPS Asbestos Reporting	Annual NESHAPS Asbestos Reporting certified by the contractor. Contractor submits to DEQ by Feb 15.		R	Annually: DOE-ID Jan 15	ETSD Director; DEQ
F.36	40 CFR 61 Subpart M	NESHAPS Asbestos D&D Notifications	NESHAPS Asbestos D&D Notifications, as needed. Contractor submits to regulators.		N	As needed	ETSD Director DEQ
F.37	40 CFR 68	Risk Management Plan - General Duty Clause Compliance Analysis	Update the Risk Management Plan - General Duty Clause Compliance Analysis		R	Annually: August 1 to DOE	ETSD Director

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F.38	DOE O 450.1 PTC # 023-00001	TRA PTC Reports	TRA PTC Reports certified by the contractor. Contractor submits final to DEQ quarterly (11/15, 2/15, 5/15, 8/15).		R, C	Quarterly To DOE 11/5 2/5 5/5 8/5	ETSD Director DEQ TRA Facility Manager
F.39	DOE O 450.1, PTC # 023-00001	Annual PTC Report on the INTEC Re-rack Configuration	Annual PTC Report on the INTEC Re-rack Configuration certification statement, certified by the contractor. Contractor submits final to DEQ Jan 30.		R, C	Annually: Jan 15 to DOE	ETSD Director DEQ INTEC Facility Manager
F.40	DOE O 450.1 40 CFR 302	CERCLA Continuous Release Reports	Prepare CERCLA Continuous Release Reports, as needed,		R	As needed	ETSD
F.41	40 CFR 260 (et seq)	Consent Order and other Regulatory Milestones Status Reports	Track all Consent Order and other regulatory milestones and ensure they are met. Provide quarterly status reports to DOE-ID and as requested.		R	Quarterly to DOE 1/30 4/30 7/30 10/30.	ETSD Director
F.42	40 CFR 260 (et seq.)	Environmental Disclosure Logs and other Disclosures	Monthly Disclosure Logs. Submit voluntary environmental disclosure logs to appropriate Federal, State and Local regulatory agencies monthly, as needed. Provide oral or written disclosures and planned corrective actions outside of monthly logs to regulatory agencies as needed to demonstrate effective environmental management, in line with EPA voluntary disclosure policy, for more significant issues. Contractor submits to regulators.		R	Monthly, or as needed	ETSD Director (each, as appropriate) - Federal, State and Local Agencies DOE Director- Affected facility
F.43	DOE O 414.1A Change 1, DOE G 414.1- 1, and DOE P 450.5.	Environmental Regulatory Processes and Operations Compliance & Adequacy Assessments	Provide results of environmental self-assessments.		N	Within 30 days of assessment completion	ETSD Director QSD Director DOE-ID ESH&QA Oversight Program Manager DOE-ID Director(s) for affected facility(ies)
F.44	40 CFR 355, 40 CFR 302, and EO 13186	Chemical Spills Reports and Response	Prepare Chemical Spills Reports, as needed, to DEQ, NRC, or USCG, dependent on the nature of the spill. Contractor submits to regulators.		N	As needed	ETSD Director (as appropriate) - Federal (EPA, USCG, NRC), State (DEQ) and Local Agencies DOE Director for affected Facility(ies)
F.45	DOE O 450.1 Archaeological Resources Protection Act of 1979 43 CFR Part 7	Federal Archaeology Program Report to Congress	Prepare the annual Department of Interior (DOI) Questionnaire on the Federal Archaeology Program Report. DOE submits to Headquarters.		R	Annually: Draft Jan 15 to DOE-ID Final Feb 15 to DOE HQ	ETSD Director
F.46	DOE O 450.1 Archaeological Resources Protection Act of 1979	Protection of Key Archaeological and Historic Architectural Properties	Submit the INL site monitoring forms for monitoring conducted to DOE-ID by October 31. Support protection of key archaeological and historic architectural properties by conducting periodic monitoring. Specific sites to be determined each year depending on risk, at least 5 sites per year.		R	Annually 10/31 to DOE	ETSD Director

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F.47	DOE O 450.1 36 CFR 800 and DOE O 1230.2	INL Cultural Resources Management Plan	Annual review and update the INL Cultural Resources Management Plan, as needed.		R	Annual, when needed Mar 1 to DOE	ETSD Director For external distribution of final (after DOE review) –12 hard copies
F.48	DOE O 450.1 National Historic Preservation Act of 1966, as amended, 36 CFR Part 800	National Registry of Historic Places Nomination Packages	Prepare and submit nomination packages to DOE-ID for historic properties to the National Register Of Historic Places in accordance with established guidelines and regulations, as needed and agreed each year.		R, A	As requested	ETSD Director
F.49	40 CFR 1500 (et seq.) and 10 CFR 1021 (et seq.)	National Environmental Policy Act (NEPA) Activities	Provide documentation as to whether an action can be categorically excluded, requires an environmental assessment, or requires an environmental impact statement.		R, A	As needed	NCO DOE-ID Director(s) for affected facility(ies)/action(s)

G. SAFEGUARDS & SECURITY REQUIREMENTS

G.1	DOE O 474.1A	Material Control and Accountability Plan	Complete review of the Material Control and Accountability Plan by March 31 annually per DOE O 474.1A.		R, A R – 45 days A – 7 days	Annually: March 31	SD Director
G.2	DOE P 450.5	Safeguards & Security Status Reports	Provide status reports in all topical areas of Safeguard and Security.		R – 14 days	Monthly: 10 th of the month	SD Director
G.3	DOE O 470.1 Change 1	Site Safeguards & Security Plan (SSSP)	Meet the requirements of the Safeguards & Security Strategic Plan (SSSP). Complete review of the SSSP and update as necessary annually by September 30.		R, A R – 21 days A – 7 days	Annually: Sept 30	SD Director
G.4	DOE O 151.1A	Emergency Management Performance Measure	DOE HQ Quarterly Performance Measures.		N	Quarterly Jan 1 April 1 July 1 Oct 1	Emergency Management Program Manager
G.5	DOE O 151.1A	Emergency Management Plan	Annually submit the updated INL Emergency Management Plan.		R- 21 days A - 7 days	Annually, October 1	Emergency Management Program Administrator
G.6	DOE O 151.1A	Emergency Readiness Assurance Plan	Submit Emergency Readiness Assurance Plan updates compliant with the governing directives annually.		R, A R - 21 days A - 7 days	Annually, August 30	Emergency Management Program Administrator
G.7	DOE O 151.1A	Hazards Assessment Document	Submit Hazards Assessment Document updates compliant with the governing directives.		R, A R - 21 days A - 7 days	As required	Emergency Management Program Administrator

H. OPERATIONS, SAFETY, HEALTH and QUALITY ASSURANCE REQUIREMENTS

H.1	DOE O 425.1C	Startup Notification Reports (SNRs)	The SNRs shall include, at a minimum, the level of readiness activity and the proposed startup authority level.		R - 14 days A - 7 days	Semi- Annually: January & July	QSD Director; DAM/Operations ; DOE-ID Director(s) for each facility or operational area
H.2	DOE O 5480.19, Change 2	Conduct of Operations Conformance Documents	Conduct of Operations Conformance Documents (e.g., matrices).		R - 21 days A - 7 days	As needed	QSD Director; DAM/Operations ; DOE-ID Director(s) for each facility or operational area

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H.3	DOE O 5480.20A Change 1	Personnel Selection, Qualification and Training for Nuclear Facilities	<p>With respect to the selection, qualification and training of personnel for INL nuclear facilities:</p> <ul style="list-style-type: none"> a. Prepare and submit a Training Implementation Matrix to the DOE Manager for review and approval. b. Procedures for exemptions to specific training or qualification requirements for an individual. c. Provide written requests for certification extensions to the DOE Manager for approval. d. Prepare and submit an assessment of the need for a simulator, for Category A test and research reactors only. e. Report of periodic systemic evaluations of training and qualification programs. Perform periodic (at least biennially) systemic evaluations of training and qualification programs. 		<ul style="list-style-type: none"> a. and b. R – 21 days A – 7 days c. R – 7 days A – 7 days d. R – 30 days A – 7 days e. N 	<ul style="list-style-type: none"> a. and b. Within 90 days of contract takeover c. As needed d. As needed e. Biennially, initial due in July 2005 	QSD Director DAM/Operations DOE Director(s) for the affected facility or operational area(s)
H.4	10 CFR 830 Subpart A; DOE O 433.1; DOE O 430.1A; DOE P 450.4	Maintenance Management Program & Maintenance Implementation Plan	<p>This MMP shall integrate the performance expectations of the QA Rule and Orders with Integrated Safety Management as prescribed by DOE O 450.4.</p> <ul style="list-style-type: none"> a. The initial MMP and Maintenance Implementation Plan (MIP). b. Submit the MMP and MIP to DOE for review and approval, documenting changes made from the previous submission, the reasons for the changes, and the basis for concluding that the revised MMP and MIP continue to satisfy the requirements of the QA Rule and Orders. c. Identify performance metrics and performance goals for reporting maintenance status on a monthly basis and annually integrate maintenance needs with long-range planning to demonstrate effective management of resources. d. Annual deferred maintenance and maintenance costs reports. 		<ul style="list-style-type: none"> a. and b. R – 21 days A – 7 days c. R – Metrics & Goals, 14 days N – Status d. R – 14 days 	<ul style="list-style-type: none"> a. Within 90 days of contract takeover b. Biennially (based on initial approval) c. Metrics & Goals – Annually: Sept 15 Status – Monthly: 15th d. Annually: Sept (per DOE-HQ Guidance) 	DAM/Ops; DOE Maint. Program Manager; DOE Director(s) for each facility or operational area

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H.5	10 CFR 830 Subpart B	Documented Safety Analyses (DSAs), Technical Safety Requirements (TSRs), Unreviewed Safety Questions (USQs)	Provide a schedule for maintaining safety basis for nuclear facilities current (annual updates of the DSAs) and summaries of USQs.		N	Annually: Dec	DAM/Ops ; QSD Director; DOE Director(s) for each affected facility or operational area
H.6	10 CFR 830 Subpart B	DSAs, TSRs, USQs	Submit the annual DSA updates, TSR changes and if required USQ summaries.		DSAs, TSRs, USQs: R/A – 90 days	IAW Annual DSA Schedule	DSAs, TSRs, USQs: DOE Director(s) for each affected facility or operational area
H.7	10 CFR 830 Subpart B	DSA, TSR and USQ Resolution Implementation Declaration	Provide DOE with a declaration of DSA, TSR, and USQ resolution implementation.		N	As specified in the Safety Evaluation Report.	DAM/Ops QSD Director; DOE Director(s) for each affected facility or operational area
H.8	10 CFR 830.203	USQ Process	Submit to DOE a procedure for the USQ Process that meets the requirements.		R – 30 days A – 7 days	Initial: within 90 days of contract takeover; Revisions: as needed	DAM/Ops QSD Director; DOE Director(s) for each affected facility or operational area
H.9	SOW 2.4.B, 48 CFR 970.5223-1, DOE O 450.1, DOE O 414.1A Change 1, DOE P 450.4, and DOE G 450.4-1B, Volumes 1 and 2	Integrated Safety Management	<p>a. Prepare and submit for DOE approval, ISMS Description Document prior to contract start takeover for the INL. The annual review and update of the INL ISMS Description Document shall be submitted to DOE for approval by September 30, starting the second contract year and thereafter. This description document will include the EMS.</p> <p>b. Annual ISMS Safety Performance Objectives, Performance Measures and Commitments Affirmation (Annual Affirmation).</p> <p>c. Conduct a maintenance effort and provide a System Integrity Report. The information derived from this effort should be tied to the Annual Affirmation document.</p>		<p>a. Initial: R – 21 days A – 7 days</p> <p>Updates: R – 45 days A – 15 days</p> <p>b. R – 30 days A – 15 days</p> <p>c. N</p>	<p>(a) Final Approved - prior to contract takeover;</p> <p>(a) Updates – Annually: Sept 30</p> <p>(b) Final Approved - prior to contract takeover</p> <p>(b) Annually: October 1</p> <p>(c) Annually: Sept 30</p>	DAM/Ops QSD Director CO
H.10	48 CFR 970.5223-1, DOE P 450.4, and DOE G 450.4-1B, Volumes 1 and 2	Authorization Agreements	Develop and submit for approval Authorization Agreement(s), if determined to be necessary by the contractor and the DOE funding program.		R – 30 days A – 7 days	As needed	DOE Director(s) for each affected facility or operational area
H.11	DOE O 420.1A	Fire Protection and Fire Marshal	Perform biennial management effectiveness assessments of the Program per DOE G 440.1-5 and provide assessment results to DOE.		N	Annually: September	QSD Director

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H.12	DOE O 440.2B	Contracted Aviation	Submit quarterly reports of flight hours, costs and other relevant information to DOE Aviation Safety Officer		R	Quarterly Jan Apr Jul Oct	DOE Aviation Safety Officer
H.13	DOE Manual 231.1-1 Chp. II Required by O 231.1	Environment, Safety and Health Reporting Manual	Report Work-Related Damage or Loss of Property and Vehicles Due to Accidents. > \$5000 IAW DOE F 5494.4		R	As occur	CAIRS data coordinator DOE HQ Germantown, MD QSD Director
H.14	DOE Manual 231.1-1 Chp. II Required by O 231.1	Environment, Safety and Health Reporting Manual	Submit "Tabulation of Work-hours, Vehicle Usage, and Property Valuation. DOE F 5494.4		N	Quarterly Jan Apr Jul Oct	CAIRS data coordinator DOE HQ Germantown, MD QSD Director
H.15	I.55 DOE Manual 231.1-1 Chp. II Required by O 231.1	Environment, Safety and Health Reporting Manual	DOE Annual Estimated Property Valuation (Note: In support of fire protection program.)		R	Annually March	CAIRS data coordinator DOE HQ Germantown, MD QSD Director
H.16	DOE M 231.1	Fire Protection Program	Submit the Annual Summary of Fire Damage covering the fire protection program and loss experience of the previous year.		Review and Submit to EH-1	March 31	DOE Fire Protection Engineer
H.17	DOE O 420.1A and ID O 420.A	Emergency Services	Perform Annual management effectiveness assessments of the Fire Protection Program and provide assessment results.		N	Annually May 31	QSD Director
H.18	DOE O 440.1A and DOE M 231.1-1 Change 2, Chapter II	Accident, Injury and Illness Reporting	Provide monthly injury/illness summary reports to DOE, including Injury/Illness, Severity Index information, TRCR and Lost Workday Case Rates, an analysis of performance measures, data for trends and lessons learned.		N	By the 10 th of each month	QSD Director
H.19	DOE O 440.1A and DOE M 231.1-1A, Chapter II 29 CFR 1904	Accident, Injury and Illness Record keeping	Submit a legible copy of each new or revised injury or illness report on form DOE F 5484.3 (or equivalent) to the CAIRS Data Coordinator		N	Jan 25 April 25 July 25 Oct 25	CAIRS Data Coordinator
H.20	DOE O 420.1A and ANSI/ANS 8.1 & 8.19	Annual Criticality Safety Officer Program	Conduct an annual self-assessment to elements of ANSI/ANS 8.1 & 8.19 and provide DOE with the results.		N	Annual June 30	QSD Director
H.21	10 CFR 835 Subpart E	DOELAP Accreditation of Dosimetry Program	Biennially submit a Request to DOE for recertification of the INL dosimetry programs.		R – 30 days A – Per DOE-EH Protocols	Biennially: Based on last accreditation	QSD Director
H.22	10 CFR 835 Subpart E	DOELAP Accreditation of Dosimetry Program	Provide a quarterly summary of all In Vitro and In Vivo activities.		N	Quarterly: Jan 15; April 15; July 15; Oct 15	QSD Director
H.23	DOE O 420.1A, DOE O 430.1A, & DOE O 433.1	Fire & Life Safety System Preventative Maintenance	Report of fire and life safety system preventive maintenance activities, within nuclear facilities.		N	Quarterly: Oct 30, Jan 30, April 30, July 30	DOE Fire Protection Engineer DOE Maintenance Program Manager
H.24	DOE O 420.1A, DOE O 430.1A, & DOE O 433.1	Fire & Life Safety System Preventative Maintenance	Report of fire and life safety system preventive maintenance activities for all water-based fire suppression systems within all Site areas to DOE.		N	Quarterly: Oct 30, Jan 30, April 30, July 30	DOE Fire Protection Engineer DOE Maintenance Program Manager

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H.25	DOE M 231.1-1A, Change 2 Chapter III	Annual Dosimetry Report	Annual dosimetry report and historical dose reports as requested.		N	Annually March 15, and as requested	DOE Radiological Controls Program Manager
H.26	DOE O 5480.19 Change 2	Five-year Long-Range Staffing Plan	Five-year long-range staffing plan for all Site Areas to DOE.		N	Annually Jan 2	QSD Director
H.27	10 CFR 830 Subpart A and DOE O 414.1A Change 1	Quality Assurance program	This QAP shall integrate the performance expectations of the QA Rule and Order with a consensus standard for quality assurance. The standard selected should suit the products and services of the organization (e.g., ASME NQA-1) and its customers.		R – 30 days A – 7 days	Initial: Within 90 days of contract takeover Revisions: Annually	QSD Director
H.28	H.5 10 CFR 830 Subpart A, DOE O 414.1A Change 1, & DOE P 450.5	Management and Self-Assessments	Provide DOE with an annual management assessment and an annual schedule for management assessment and self-assessment schedule.		N	Initial: Within 90 days of contract takeover Annually: Sept 15	DOE ESH&QA Oversight Program Manager DAM/Ops QSD Director
H.29	10 CFR 830 Subpart A & DOE O 414.1A Change 1	Quality Assurance Management and Self-Assessment Report	Quarterly report of status of the self-assessment activities to DOE, including descriptions of the self-assessment activities completed and justification for deviations from the schedule, identification, and the status and analysis of the findings identified.		N	Quarterly: Oct 15, Jan 15, April 15, July 15	QSD Director DOE ESH&QA Oversight Program Manager

I. PROGRAMS

I.1	Voluntary Consent Order	Tank Closure Plans	Closure Plan in accordance with RCRA Regulations.		R	In compliance with VCO schedule	EM/ER VCO Lead
I.2	Voluntary Consent Order	VCO Annual Report	Provide input to VCO Annual Report to ICP Contractor.		N	Annual, October	EM/ER VCO Lead
I.3	DOE Order 430.1B	Ten Year Site Plan	Content in accordance with DOE Order.		A	March 30 & Sept. 30	NE-HQ - 10 DOE-ID - 30 EM-HQ - 10 Other HQ - 10
I.4	DOE Order 430.1B	INL Building Ownership Database	Defines DOE Secretarial Office owner for each building and major structure under the purview of DOE. Update List 246 to reflect deletions or additions		A	Sept 30 or As reqd.	NE-HQ EM-HQ DOE-ID
I.5	DOE Order 430.1B CERCLA	Comprehensive Facility and Land Use Plan	Documents long-term land use plan and planning maps for facility areas, must include Record of Decision data.		A	Sept 30. or As reqd.	NE-HQ EM-HQ DOE-ID
I.6	DOE Order 430.1B	Site Integrated Infrastructure Ten-Year Acquisition and Recapitalization Projects Plan	Describes all planned General Plant Projects and Line Item Capital Projects under the purview of DOE (includes projects funded by NE and other programs EM, NNSA, etc. at INL).		R	March 30 & Sept. 30	NE-HQ DOE-ID
I.7	DOE Order 430.1B	General Purpose Capital Equipment Five-Year Acquisition Plan	Describes planned General Purpose Capital Equipment purchases.		R	Annually, Oct 30	NE-HQ DOE
I.8	DOE Order 430.1B	Annual Earthquake report	Documents earthquake activity on and around the INL		N	Annually Sept 30	DOE-ID

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I.9	DOE Order 430.2A	Annual Energy Usage Report	Electronic data to DOE-HQ, Federal Energy Management Program describes current year energy usage		N	Annually Nov 30	DOE-FEMP DOE-ID
I.10	Idaho Power Contract with NE ID	Annual Energy Usage Forecast to Idaho Power	Forecast energy usage for the next 12 months		R	Annually Sept 30	NE ID Idaho Power -1
I.11	Interagency Agreement # DE-A107-89ID12865 MOU Between Dept. of Army and DOE	Technical Data Package Requirements Document 03	Maintain the Technical Data Package and issue revisions as directed by Dept. of Army in accordance to the reference document.		A	As required	Dept. of Army - 1 DOE
I.12	Interagency Agreement # DE-A107-89ID12865 MOU Between Dept. of Army and DOE	Technical Data Package Requirements Document 04	Maintain the Technical Data Package and issue revisions as directed by Dept. of Army in accordance to the reference document.		A	As required	Dept. of Army - 1 DOE
I.13	Interagency Agreement # DE-A107-89ID12865 MOU Between Dept. of Army and DOE	Quality Control Plan	Develop a Quality Control Plan in accordance to the reference document.		A	As required	DOE
I.14	Interagency Agreement # DE-A107-89ID12865 MOU Between Dept. of Army and DOE	Operating Reports	Provide a monthly report in accordance with the reference document.		R	Monthly, 10 th or next business day	DOE SMC Division Director, Team Lead, DOE CFO SMC Program Analyst
I.15	Interagency Agreement # DE-A107-89ID12865 MOU Between Dept. of Army and DOE	Five Year Funding Profile	Submit projected budgets across SMC Program business tasks for current year and next 5 fiscal years in accordance to reference document.		R, A	Semi-annually October April	Dept. of Army – 1 DOE
I.16	Interagency Agreement # DE-A107-89ID12865 MOU Between Dept. of Army and DOE	Annual Detailed Work Plan	An annual budget will be submitted to the Dept. of Army for review and approval in early September for the following year in accordance to the reference document.		R, A	Annually September	Dept. of Army - 1 DOE
I.17	Interagency Agreement # DE-A107-89ID12865 MOU Between Dept. of Army and DOE	SMC Special Access Program Classification Guidance	DOE and its contractors will use the Dept. of Army Special Access Program (SAP) Classification Guide or may use local guides based upon these and approved by Dept of Army in accordance with the reference document.		N if SAP used R, A by Dept. of Army for local guides	As directed by Program Office	SMC Division Director
I.18	Interagency Agreement # DE-A107-89ID12865 MOU Between Dept. of Army and DOE	Special Access Program - Security Procedures Guide	DOE and its contractors will use the Dept. of Army Security Procedures Guide or may use local guides based upon these and approved by DA in accordance with the reference document.		N if Army Guide used R, A by Dept. of Army for local guides	As directed by Program Office	SMC Division Director

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I.19	Interagency Agreement # DE-A107-89ID12865 MOU Between Dept. of Army and DOE	SMC Counterintelligence Plan	DOE and its contractor will provide support through the INL Counterintelligence Office for implementation of the SMC Counterintelligence Plan in accordance with the reference document.		R, A	As directed by Program Office	SMC Division Director
I.20	Interagency Agreement # DE-A107-89ID12865 MOU Between Dept. of Army and DOE	Quarterly Security Clearance Reinvestigation Report	DOE and its contractors will use a five (5) year reinvestigation period for personnel security clearances of personnel in accordance to the reference document.		A	Quarterly	SMC Division Director
I.21	SAP Security Procedures Guide	SAP Operations Security Plan	Provide a written Operations Security Plan to protect Program SAP National Security Information in accordance to the reference document		R, A	As directed by DOE SMC Program Office	SMC Division Director
I.22	SAP – Security Procedures Guide	Program Security Reviews	Report on Program security reviews in accordance with reference document.		R	As directed by Program Office or Dept. of Army	SMC Division Director
I.23	SMC Program Management Plan	Engineering Project Status	Provide a monthly report in accordance to the reference document.		R	Monthly, 10 th or next business day	DOE SMC Division Director DOE CFO SMC Program Analyst
I.24	SMC Program Management Plan	Engineering Projects, Environmental and Waste Management Quarterly Review	Provide a quarterly report in accordance to reference document.		R	Quarterly	DOE SMC Division Director DOE CFO SMC Program Analyst
I.25	SMC Program Management Plan	In-Production-Review (IPR)	Provide information in accordance with the reference document.		R	Semi-annually in October and April	DOE SMC Division Director
I.26	SMC Program Management Plan	Engineering Projects Five Year Plan	Provide Engineering Projects Five Year Plan in accordance with the reference document.		R, A	Annually, Draft last day in July, finalized in October	DOE SMC Program Office
I.27	SMC Program Management Plan	Key Actions Meeting	Weekly status summary in accordance to the reference document.		R	Weekly	DOE SMC Program Office
I.28	DOD 5220.22 – M National Industrial Security Program Operating Manual	NISPOM Security Review	Perform a review of SMC SAP Program to NISPOM and its supplement to maintain compliance to SAP Security Procedures Guide and to Interagency Agreement # DE-A107-89ID12865 MOU Between Dept. of Army and DOE.		R	Annually or as directed by DOE SMC Program Office or by Dept. of Army	DOE SMC Division Director
I.29	DOE O 413.2A	LDRD Annual report	Detailed annual report of LDRD expenditures and Technical projects and accomplishments.		N	Annually by February 28	CO, Chief Scientist
I.30	DOE O 413.2A	LDRD Management plan	Annual Plan for managing LDRD initiatives funded and processes.		A	Annually by June 30	CO, Chief Scientist
I.31	DOE Policy Manual, Secretary of Energy Guidance; Annual Instructional Planning Instructions	INL Institutional Plan	Annual institutional plan describing INL programs, research and initiatives for a Laboratory Perspective.		A	Annually by October 1	DOE Manager, CO, CFAO, Chief Scientist

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I.32	DOE O 425.1C	ATR Restart Recommendation	Reactor Start-up Recommendation following completion of outages, prior to startup. In compliance with approved Contractor startup plan/procedure		R	Following each outage	DOE-ID TRA Director
I.33	H.23	Bi-weekly ATR Status Report	Letter on status of ATR and progress against sponsor's test plan.		Review	Bi-weekly	Original to NE, copies to NE, NRF, NE-ID, Bettis
I.34	DOE O 470.1 and supplemental guidance DOE N 473.8	Compliance with Manager's Standing Orders	Deliverables required by the DOE Manager's Standing Orders. Standing Orders and direction to discontinue will be formally issued to the Contractor by the Contracting Officer		As defined in order	As defined in order	As defined in order
I.35	H.23	NR and NE Mid-year Performance Summary	Year to date program performance status, outlook, issues, actions needed, and Agreements and Commitments		R	Annual, typically March	40 copies
I.36	H.23	NR Annual Budget Briefing	Year-to-date program performance status, out-year program requirements, funding issues, unfounded needs, and Agreements and Commitments.		R	Annual, typically November	20 copies

Note 1. A = Approval; C = Certification by DOE (required for some regulatory documents; certification requires hardcopy submittal); R = Review and comment; N = No action – Information only. Unless otherwise specified, the length of time for DOE review or approval will be 30 calendar days.

Note 2. This column identifies the position to receive delivery notification. Each deliverable will be available to DOE in electronic form per Section C.3 unless hardcopies are specified.

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Appendix A

Data Item Descriptions for Project Management System, Baselines, and Baseline Reporting

I. Project Management System Deliverable

The Project Management System document must describe the policies, procedures, and tools that assure projects are completed on time and within budget. The document will address how this will be applied to all work scope, using a graded approach based upon the nature, complexity, risk, size, and sensitivity of the work being performed. Elements of the system will include the Project Management Control System, a description of the development and control of the Baseline, and a description of baseline status reporting. Attributes of this system shall include: definition and organization of the work scope, planning, scheduling and cost estimating; work authorization; performance assessment; change management; reporting; and closeout. The following is additional definition to be addressed for these elements.

a. INL Project Management Control System:

The system must describe all elements of the Contractor's Project Management Control System (formal processes and controls) that will support successful completion of all contract work scope (e.g., R&D, site services, infrastructure, indirect funded activities, etc.). The system must be disciplined and result in accurate work scope definition, organization, planning, estimating, budgeting, scheduling, authorizing, assessment, reporting, change management, record keeping, and project closeout. The contractor's approach to organizing and defining work (e.g., WBS) will be included, and the detailed baseline will provide this definition down to the lowest level that the work will be managed. The system must be compatible with the "ID Work Control Process" provided in Section IV of this Appendix A. The system must also:

1. Articulate the management policy, processes and controls utilized to manage and control work, complete Contract requirements, and meet the requirements of earned value management systems as applicable.
2. Implement a reliable estimating system using sources such as bids, historical, non-historical, parametric and other generally accepted estimating data for estimate development. Describe how historical records will be maintained and available for use for cost estimate development.

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3. Address the details of the change control process, including both internal and external approval processes. The Contractor must propose authorization thresholds to define DOE and Contractor change authority. Include a description of the approach to the identification and handling of changes in each of the general groupings below.
 - i. Changes beyond Contractor Control
 - New work (within the general scope of the contract) resulting from Contracting Officer direction to the contractor, new regulatory requirements, and/or change to a Record of Decision outside of the initial Statement of Work.
 - Budget reductions by the Government greater than 10% below the base case funding as specified in elsewhere in this contract.
 - Contracting Officer direction or Contracting Officer-initiated actions/events which have a demonstrable material effect on the performance of this contract.
 - Changes to the level of the mandatory services prescribed by tenant agreements (Section J, Attachment F)
 - Contractor inability to meet commitments, due to funding limitations due to such things as continuing resolution.
 - ii. Changes for which the Contractor is accountable (will not change baseline, but addressed as variance)
 - Differences between the contractor's Estimate at Completion and the baseline. This includes the initial baseline submittal due as prescribed in the deliverables table and all baseline updates.
 - Salary increases above any assumed escalation.
 - Innovative Management/Planning ideas implemented by the Contractor or subcontractor and staff.
 - Contractor initiatives for technology, process, etc. implemented by the Contractor or subcontractor and staff.
 - Change in baseline cost or schedule through subcontracting.
 - Poor engineering or estimating by Contractor or subcontractor.
 - Poor management decision by the Contractor or subcontractor, including actions by staff.
 - Contractor controlled action that results in an accident or delay mission.
 - Subcontractor controlled action that results in an accident or delay of mission.
 - Inadequate schedules which do not anticipate previously agreed DOE review/approval durations.
 - Inadequate coordination with EPA/State or other groups impacting actions under the Contractor's control.

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- Increases or decreases in scope that are within the range of approved INL Project Baseline assumptions.
- ES&H violation by Contractor or subcontractor, including consequential investigations and impacts.
- Fines or penalties imposed by DOE or other regulatory agencies due to the contractor's action, or inaction. (This includes fines levied against DOE based on Contractor performance).
- Willful misconduct or lack of good judgment by Contractor or subcontractor.
- Stoppage of work due to safety or environmental compliance.

b. INL Baselines

The system document must describe the Contractor's formal processes for developing, maintaining, and controlling an integrated and auditable scope, schedule, and cost baseline for the INL. "Auditable" requires both vertical traceability from the lowest to the highest levels of detail within the WBS and lateral traceability from the technical scope definition to the scheduled estimate to the basis of the cost estimate. The system document must address the processes for developing, maintaining and controlling:

1. Work scope descriptions,
2. Schedules to implement the project work scope,
3. Cost to implement project work scope on the projected schedule. (Documented defensible Basis of Estimates (BOE) must be prepared to support the rationale and justification for estimated costs.)
4. Risks to achieving the baseline in terms of scope, schedule and cost estimate risks and approach to mitigation.

c. INL Baseline Reporting

The requirements and procedures for the Contractor's baseline reporting system must be described in the system document. Content, frequency and distribution of reporting must be addressed. A description of all reporting in response to the CDRL must be included.

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II. INL Baseline Deliverable

The Contractor must develop, maintain and control baselines as described in the Contractor's project management system document. The INL Baseline must contain complete scope, schedule, and cost information (including contingency). The INL baseline must also support development and maintenance of an integrated ID Baseline and the annual budget process. Baselines must include both lifecycle scope, cost and schedule information as well as annual detailed work planning (for the current year). The technical work scope, schedule, and cost defined in the INL baseline must be organized in a manner (e.g., individual project, area, sponsor) agreed to by DOE or other program sponsors. The following elements must be addressed in the baseline:

- a. **Scope:** The detailed description of activities, facilities, and materials to be performed or used shall tie to the defined work elements. Key assumptions indicating performance or milestones to be accomplished shall be included along with bounding assumptions for the specific work.
- b. **Schedule:** Each activity in the top-level logic shall be a traceable rollup from the contractor's more detailed schedules utilized to manage and control the execution of the work. There shall be a one-to-many relationship between the top-level and the lower-level logics. The Contractor shall provide DOE monthly schedule updates and shall work with ID to resolve schedule discrepancies.
- c. **Cost:** The INL Baseline shall include a summary of the project cost baseline at the specific funding level by fiscal year (five year plan), and a monthly spending plan for the current Fiscal Year (FY) at one level below the specified funding target. The INL Baseline and supporting documentation package shall be submitted to ID. A graded approach may be taken as defined in the contractor's Project Management System document.
- d. **Change Control Process:** The Contractor shall implement disciplined change management system according to the methods approved in the Project Management System document. Change control and trend monitoring shall be addressed.

III. INL Baseline Reporting Deliverables

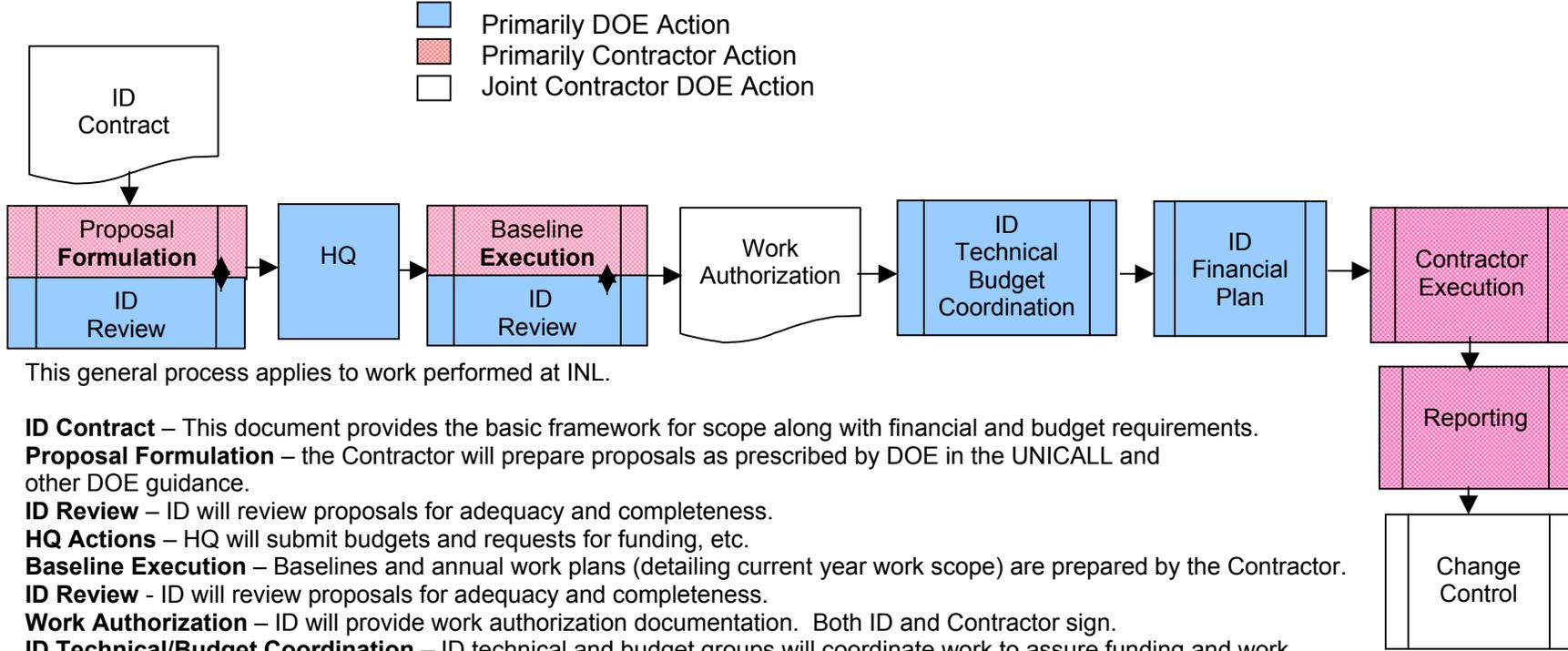
Reports submitted in accordance with the CDRL must:

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- a. Report performance on the technical work scope, schedule, and cost profile defined in the INL baseline at a level (e.g., individual project, area, sponsor, program) agreed to by DOE. Reporting must be in terms of both progress against annual work plans and overall lifecycle baseline.
- b. Baseline status reports must be prepared and transmitted to DOE as scheduled in the CDRL. Monthly reports will provide data for the prior calendar month. Quarterly, semiannual, and annual reports will cover the prior quarter, half-year or year, respectively. Status reports must include narrative and performance curves (e.g., earned value analysis based on the schedule) for the cost and job hour status (e.g., planned, actual, and forecast percents complete and Estimates at Complete). The percent variances must be identified and explained. Status reports must include data for the total contract cost and performance for the major WBS elements. Requirement sources (e.g., DOE O 413.3 and non-DOE sponsor requirements) must be considered and addressed in the design of reports.

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IV. ID Work Control Process



This general process applies to work performed at INL.

- ID Contract** – This document provides the basic framework for scope along with financial and budget requirements.
- Proposal Formulation** – the Contractor will prepare proposals as prescribed by DOE in the UNICALL and other DOE guidance.
- ID Review** – ID will review proposals for adequacy and completeness.
- HQ Actions** – HQ will submit budgets and requests for funding, etc.
- Baseline Execution** – Baselines and annual work plans (detailing current year work scope) are prepared by the Contractor.
- ID Review** - ID will review proposals for adequacy and completeness.
- Work Authorization** – ID will provide work authorization documentation. Both ID and Contractor sign.
- ID Technical/Budget Coordination** – ID technical and budget groups will coordinate work to assure funding and work authorization are congruent.
- ID Financial Plan** – The Fin plan will be prepared and sent to the Contractor via contract modification.