

- j. DOE 5700.7A, FIELD WORK PACKAGE PROPOSAL AND AUTHORIZATION SYSTEMS, of 6-9-83, which provides a formal process for budget development, authorization, and monitoring DOE-funded research and development work performed by designated contractors at designated facilities, including multiprogram national laboratories.
- k. DOE 6410.1, MANAGEMENT OF INSTRUCTION PROJECTS, of 5-26-83, which establishes policy and procedures for planning and executing DOE construction programs and projects.
- l. Title 44 U.S.C., "Public Printing and Documents," of 10-22-68, which establishes legal requirements related to public printing and documents, including Government Printing Office and other agency efforts, for both in-house and contract efforts.
- m. Department of Energy Acquisition Regulations, Section 917.7109, "Reporting Requirements for Special Research Contracts With Educational Institutions," of 3-28-84.
- n. Department of Energy Acquisition Regulations, Section 917.7113, "Format for Special Research Contracts With Educational or Other Non-Profit Institutions," of 3-28-84.
- o. Title 5 CFR 1320, "Controlling Paperwork Burdens on the Public," which directs the identification and clearance of information collections levied on the public, including contractors, state and local government units, and persons who perform services for the Department on an individual basis.
- p. Title 10 CFR Part 1004.11, "DOE Freedom of Information Regulations," of 1-8-79, which establishes procedures concerning handling of documents containing information which may, by law, be exempt from disclosures, and establishes the methods used by the Department to respond to Freedom of Information requests.
- q. Title 41 CFR 101-11.11, "Interagency Reports Management Program," of 7-1-82, revised, which establishes an interagency reports management program, describes policies, and promulgates standards, procedures, and techniques for the economical and efficient management of records of Federal agencies.

6. DEFINITIONS.

- a. Borrower is an inclusive term for all agencies, governments, other organizations, and individuals receiving financial assistance in the form of a loan from, or a loan guarantee by, DOE.
- b. Contract is a mutually binding legal relationship obligating the seller to furnish property or nonpersonal services (including construction) and the buyer to pay for them.

- c. Contractor is any organizational entity or individual bound by a contract with DOE.
- d. Contractual Agreement is an inclusive term for all contracts, inter-agency agreements, loan agreements, and loan guarantee agreements.
- e. Interagency Agreement is a binding agreement with a Federal Government agency to provide funds, property, or services to DOE in exchange for funds, property, or services.
- f. Loan is a disbursement of funds by DOE or other lender (not in exchange for goods or services) that is contracted to be repaid with or without interest; for example, a drawdown against a loan made under *either* a loan agreement or loan guarantee agreement.
- g. Loan Guarantee is an agreement by which DOE pledges to pay part *or* all of the loan principal and interest to a lender or holder of a security in the event of a default by a third party borrower. The term also includes loans DOE has sold under guarantee or repurchase agreements.
- h. Participant is a DOE contractor, borrower, or party to an interagency agreement.

7. BACKGROUND.

- a. Acquisition management through contracts, interagency agreements, *or* financial incentives requires an active DOE role during execution and generally requires that DOE participate in directing progress. This role requires review of participant plans and surveillance of participant progress. Participant reporting is a requisite to that surveillance.
- b. DOE 1332.1, UNIFORM REPORTING SYSTEM FOR CONTRACTORS, of 10-31-83, superseded DOE 1330.2, of 3-1-79, which established a reporting system to be used throughout the Department for new contracts issued after 2-1-79.
- c. This Order incorporates modifications based on knowledge and experience gained in using the above system, and integrates the uniform reporting system for contractors with financial incentives reporting while reducing reporting burden.

8. POLICY AND OBJECTIVES.

- a. It is the Department's policy to:
 - (1) Acquire uniform, timely, and valid information on schedule, labor, cost, and technical performance on contracts and financial incentives.
 - (2) Acquire information on a borrower's financial condition.

- b. The objectives of this Order are to:
- (1) Provide the tools for obtaining essential management information.
 - (2) Establish uniform procedures, forms, and terminology for collecting and integrating the minimum data required to manage and monitor contractual agreements.
 - (3) Ensure that only those plans and reports that are essential to monitoring and managing the contractual agreement are required from participants.
 - (4) Meet the information needs of several organizations with minimum reporting requirements.
 - (5) Enable the detection of possible delays or excess costs early enough to resolve difficulties.
 - (6) Support reporting to higher management levels.
 - (7) Support approvals which may be required for periodic disbursement of funds pursuant to provisions of contractual agreements.

9. RESPONSIBILITIES AND AUTHORITIES.

a. Program Senior Officials and Heads of Field Elements.

- (1) Implement the provisions of this Order in their individual areas of responsibility.
- (2) Provide for the review and evaluation of proposed and selected reporting requirements to ensure that neither excessive nor inadequate reporting requirements are being levied on participants.
- (3) Appoint an individual as a focal point to coordinate the requirements of this Order and furnish the appointee's name to the Director of Project and Facilities Management (MA-22).

b. program Managers, for purposes of this Order, act as project manager when there is no project manager.

c. Project Managers.

- (1) Become familiar with the intent and processes of this Order and of the references in paragraph 5, and ensure participant compliance with their intent.
- (2) Determine the reporting requirements for each contractual agreement and choose only those plans and reports essential to effective management and satisfaction of technical and financial reporting requirements.

(3) Review, analyze, evaluate, and act on information obtained through the required plans and reports.

d. Director of Administration.

(1) Director of Project and Facilities Management (MA-22).

- (a) Coordinates the implementation of this Order.
- (b) Reviews all unique management reporting *requirements in* coordination with the major organization identifying such requirements.
- (c) Authorizes data element definition revisions requested by the project manager.
- (d) Implements the information collection and clearance requirements contained in Title 5 CFR 1320 as they apply to participants, their employees and other members of the public from whom information is collected under the provisions of this directive.

(2) Director of personnel (MA-20) provides for the inclusion of uniform reporting system training in Departmentwide training programs, as appropriate.

(3) Manager of Scientific and Technical Information (MA-28) ensures this Order contains the reporting requirements necessary to meet technical information needs.

e. Director of Procurement and Assistance Management (MA-4) .

- (1) Ensures that all solicitations contain applicable uniform reporting system requirements either directly or by reference .
- (2) Ensures that, where applicable, the contractual agreement includes the clause for incorporating the uniform reporting system requirements (page IV-4) and the agreement package includes the "Reporting Requirement Checklist. "

- . General Counsel (GC-1) through the Office of Assistant General Counsel for Patents (GC-42), on request of the project manager or contracting officer's technical representative, reviews scientific and technical reports to prevent premature disclosure of inventions before reports are released to the public.

BY ORDER OF THE SECRETARY OF ENERGY:





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CHAPTER I

INTRODUCTION

1. GENERAL DESCRIPTION. The uniform reporting system addresses the reporting requirements for contracts and financial incentives (loans and loan agreements) and changes thereto. Also see DOE 5700.7A, FIELD WORK PACKAGE PROPOSAL AND AUTHORIZATION SYSTEM, which covers reporting requirements for management and reporting contractors. The plans and reports provide the data essential to project management and for reporting to higher level management. In general, there is a basic process by which reporting requirements are identified by DOE, requirements are specified in the contractual agreement, and reports are provided by the participant. Although the system is built around a common process, and some procedures are common to all contractual agreement types, some remain unique to a specific type. Because of the commonalities, integration of the reporting systems into a single system provides significant advantages both to DOE and to reporting participants. This chapter describes the process, the reporting categories, and the features of the system and their relationship to the Cost and Schedule Control Systems Criteria, and provides various administrative notifications.
 - a. System Process. Figure 1-1 illustrates the major steps in the uniform reporting system. They are:
 - (1) Identify Reporting Requirements. Before issuing a procurement request for a solicitation and after considering the information needs of other offices, the project manager identifies the reports that will be required from the participant in order to monitor the proposed work and manage proposed acquisitions.
 - (2) Prepare "Reporting Requirements Checklist" (DOE F 1332.1). The applicant/proposer must include reporting costs in the application/proposal. To do so, the required plans and status reports, and the distribution to be made by the participant subsequent to award, must be identified in the solicitation. The project manager prepares the "Reporting Requirements Checklist" for this purpose (see Chapter IV of this Order). This checklist identifies which baseline plans and status reports should be submitted and their frequency of submission.
 - (3) Prepare Detailed Guidance. The project office prepares detailed guidance for participant compliance with the reporting requirements. In attachments to the "Reporting Requirements Checklist," the project manager specifies when and to whom plans and reports should be submitted, the reporting elements to be used, the work breakdown structure if applicable, analysis thresholds to be used, and other special instructions. Any special reporting requirements specified in the program legislation or regulations will also be identified in an attachment to the checklist.

- (4) Issue Solicitation. The contracting officer issues the announcement/request for proposal(s) containing the reporting requirements.

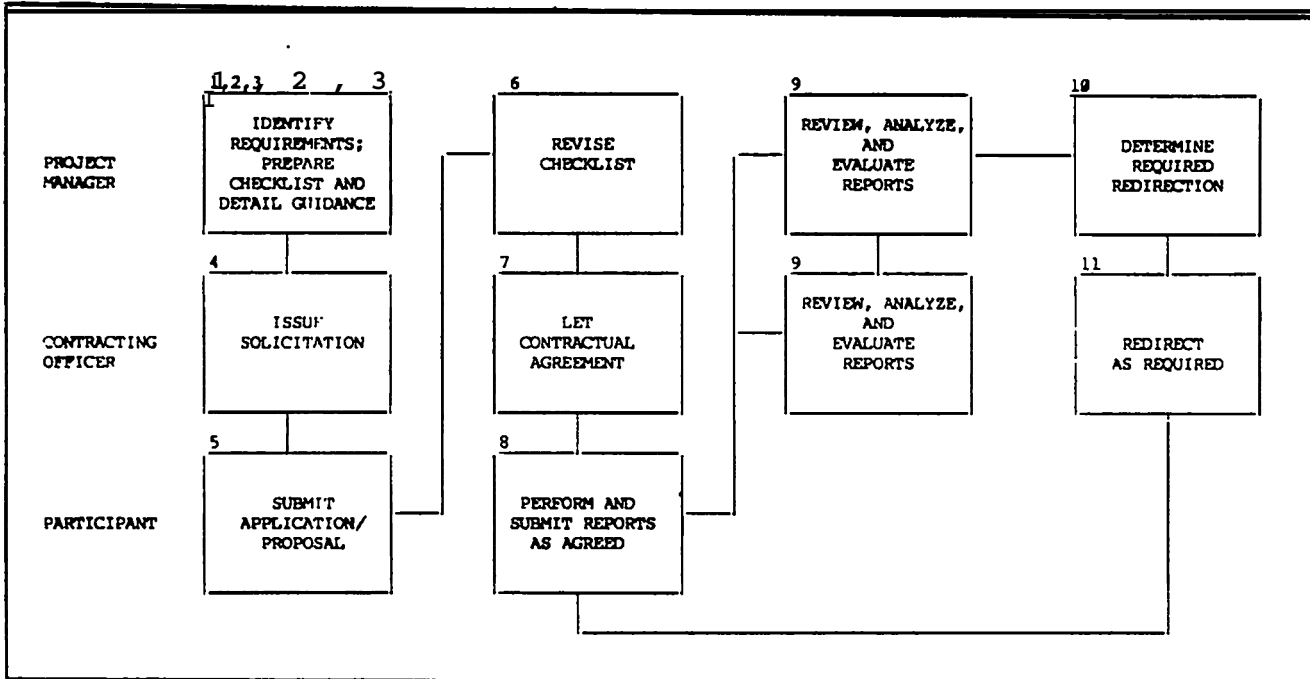


Figure I-1
Uniform Reporting System Process

- (5) Applicant/Proposer Submits Proposal, Including Plans. The applicant/proposer submits the application/proposal containing the required uniform reporting system plans in accordance with the solicitation.
- (6) Revise Checklist. The project manager revises the "Reporting Requirements Checklist" to reflect the negotiated reporting requirements.
- (7) Let Contractual Agreement. The DOE contracting officer lets the contractual agreement containing the "Reporting Requirements Checklist" and attachments, and the related clause specifying the reporting requirement.
- (8) Participant Performs Work and Submits Reports. The Participant periodically distributes the uniform reporting system reports in compliance with the contractual agreement.
- (9) DOE Assesses Reported Status. The project manager, the contracting officer, and the contracting officer's technical

representative review submitted reports rejecting any used im-
properly, analyze status relative to plan, and evaluate alterna-
tive problem solutions.

- (10) DOE Determines and Directs Required Action. The project manager determines any management required redirection and implements any changes through the contracting officer.
 - (11) DOE Redirects Participant As Required. The contracting officer redirects participants as required by DOE management.
- b. Reporting Categories. Participants report two basic types of information, baseline plan and status. Plans establish baselines for the life of the contractual agreement against which progress can be measured. The "Management Plan" is the participant's plan for executing the proposed work and, if applicable, for the repayment of the loan. It contains the appropriate detail baseline plans. Status reports relate directly to given baseline plans and show participant progress as well as variances from plans. The narrative "Status Report" will address such variances. Performance measurement reports will be used for selected contracts. A number of reports are unique to financial incentives awards. Plans and reports have therefore been subdivided into sets of categories according to their purpose. Figure I-2 illustrates the relationship of the plan and status components of the reporting categories which are briefly described below:
- (1) General Management Reports summarize schedule, labor, and cost plans and status for rapid overview by senior managers, and provide appropriate narrative explanation of status variance from plan.
 - (2) Schedule Labor/Cost Reports provide information on schedule, labor, and cost plans and status to support appropriate analysis at the level of detail required by the contractual agreement.
 - (3) Exception Reports inform DOE of any unusually significant events and document the participant's understanding of DOE/participant discussions.
 - (4) Performance Measurement Reports provide information regarding the budget~ 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.
 - (5) Financial Incentives Reports, including related forecasts submitted by a borrower on a regular basis, will be of the type ordinarily acceptable to independent auditors. Submission of these reports is essential for determining the soundness of the borrower's financial condition and protecting the Department's interest in any asset that serves as security for repayment of a loan for which DOE is either the lender or guarantor.

- (6) 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.

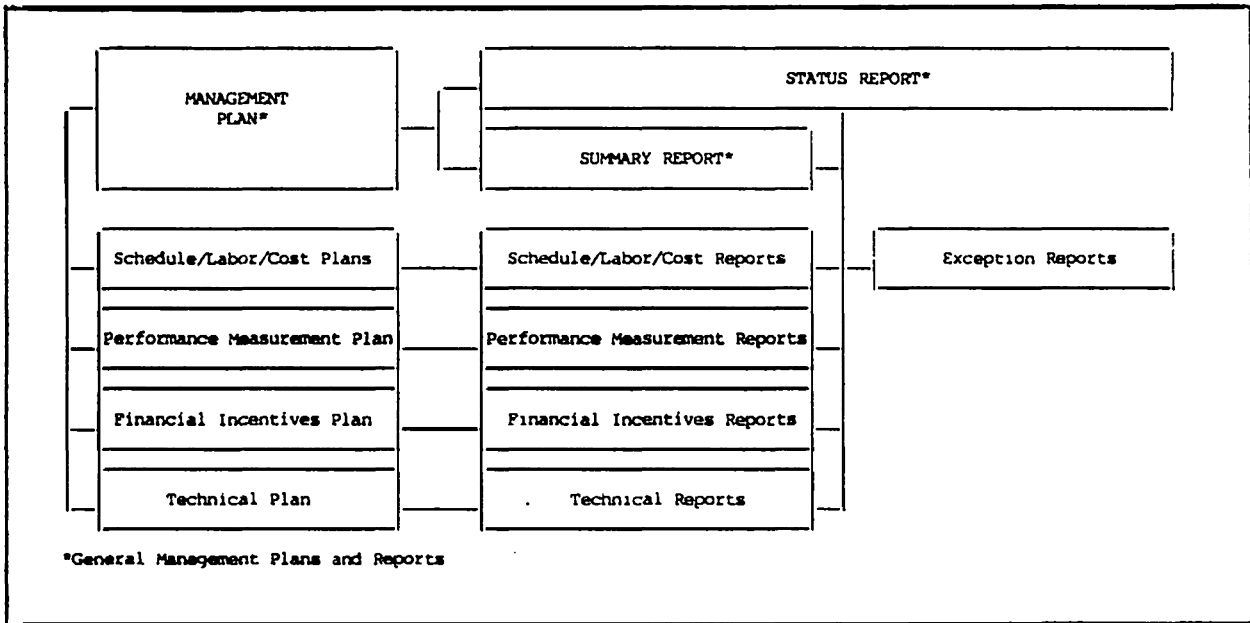


Figure I-2
Plan and status Components

- C. System Features. Primary features of the uniform reporting system are:
- (1) Standard Terminology. The use of uniform terminology and data elements minimizes ambiguity of meaning and intent.
 - (2) Standard Specification of Reporting Requirements. A formal checklist is used to identify all uniform reporting system requirements at the time of award. DOE should discuss the requirements with the participant before the time of award to ensure that they are appropriate.
 - (3) Standard Forms. This Order relies heavily on forms and procedures from DOE 1332.1, and simultaneously incorporates requirements associated with financial incentives awards. The use of standard forms encourages consistency in reporting to DOE.

- (4) Single Forms Source. All uniform reporting system **forms are** available at DOE self-service supply stores and warehouses.
- (5) Standard Preparation and Submission. A participant in more than one contractual agreement will not be required to use different forms and formats to submit data for each agreement. A single DOE publication can provide preparation and submission guidance to all participants.
- (6) Standard Analysis. DOE and participant personnel will not have to analyze different reports serving the same purpose. A single DOE publication can provide analytical guidance to all.
- (7) Planning Baselines. The planning technique described in this Order is based on the concept of prescribing specific, quantifiable, and measurable baseline information. The information presented in the baseline plans is incorporated into the "Management Plan" included in applications and proposals, and subsequently provides a means for evaluating performance. This Order identifies planning forms which can be included in the application or proposal to present the planned results.
- (8) Flexible Reporting Methods and Applications. Flexibility has been built into the system to ensure that the information requested is relevant to the activity performed. The reporting system can accommodate a variety of programs and awards by allowing the project manager to tailor the reporting requirements to fit the activity.
- (9) Participant May Propose Alternatives. DOE prefers that the forms, formats, data elements, and procedures identified in this Order be used for reporting. However, the project manager may consider proposals for alternatives. The proposal should include a discussion of any proposed substitutions or changes in the reporting requirement, and how they satisfy the report content requirement. The DOE contracting officer should coordinate such proposed substitutions with the project manager prior to finalizing the contractual agreement.
- (10) Single Reporting for Multiple Users. A participant submits information only once in each reporting period to serve all DOE needs.
- (11) Formal Problem Identification. The uniform reporting system provides participants with a formal method for identifying and communicating problems.

2. IF THE COST AND SCHEDULE CONTROL 'SYSTEMS CRITERIA APPLY.

- a. SPacification of Reporting Requirements. 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."

- b. Borrowers. The DOE performance measurement reports applicable to contractors may also be required from Selected borrowers. Borrowers, accordingly, will generally be regarded as contractors for purposes of performance measurement reporting.
 - c. Application to Second Tier Participants. Contractors to a participant may be selected for application of the criteria and/or for performance measurement reporting-by mutual agreement between the participant and the DOE project manager, according to the criticality of the participant's contractor to the project.
3. NOTICES.
- a. Confidentiality Statement. Information required to be submitted under the various provisions of the uniform reporting system may be exempt from public disclosure pursuant to the provision of the Freedom of Information Act (FOIA) 5 U.S.C. 552, and the Trade Secret Act, 18 U.S.C. 1905. The DOE will determine whether any of the information submitted may be withheld from disclosure in accordance with the FOIA and the provisions of 10 CFR 1004, and protect the information to the maximum extent permitted by law. By statutory authority, the DOE must provide this information upon the request of Congress, a Committee of Congress, **or the** General Accounting Office.
 - b. Government Printing Regulations. All reports described herein are subject to Title 44 of the U.S. Code and the Government Printing and Binding Regulations of the Joint Committee of the Congress of the United States. Additionally, all reports are subject to DOE 1340.1A.
 - c. Applicability to Other Government Agencies. The reports herein have been cleared in accordance with 41 CFR 101-11.11.
 - d. Authority. Reports listed herein are required in accordance with 42 U.S.C. 7256 and 40 U.S.C. 471 et seq. Failure to report as stated in contractual agreements may result in termination of the contractual agreement or other penalties as provided by law.
 - e. Compliance. No reporting requirements may be levied by DOE on contractors or other elements of the "public" as defined in 5 CFR 1320 unless they have prior clearance under the provisions of 5 CFR 1320 and the Office of Management and Budget (OMB) clearance number (or exemption statement) is shown on the reporting requirement document and related forms.
 - f. Office of Management and Budget Clearance. The collection of information requirements contained herein have been approved by the Office of Management and Budget (OMB No. 1901-1400). Action is underway within the Department to obtain the necessary subsequent

clearances for this information collection in accordance with section 3504(h) of the Paperwork Reduction Act, 44 U.S.C. 3501, et seq., and procedures implementing that act, 5 CFR 1320.1, et seq.

CHAPTER II

DESCRIPTION OF PLANS AND STATUS REPORTS

1. GENERAL. This chapter describes plan and status report formats, alternative methods of structuring objectively measured reporting elements, and depth of planning and reporting detail. It then provides a brief discussion of the Purpose and description of each of the plans and reports in the following categories in the order shown below:

General Management	Performance Measurement
Schedule/Labor/Cost	Financial Incentives
Exception	Technical

Figure 11-1 identifies plans and status reports included in the uniform reporting system by name and number within each category, and identifies the type of contractual agreement for which each may be used. Financial incentives plans and status reports are unique to their respective types of contractual agreements. Interagency agreements do not utilize performance measurement reports or financial incentives reports. Examples of plans and status reports completed on standard forms are included in Attachment II-1.

- a. Format. Except for financial incentives reports, this Order provides standard forms and narrative formats for presentation of baseline plans and status reports. A suggested outline is provided for narrative plans and status reports. Detailed instructions for the preparation of plan and report forms appear on the reverse of each form. This chapter includes a set of reports used for an example contract. Financial incentive reports should follow the standard formats described in paragraph 6 on page 11-21.
- b. Structure of Reporting Elements. There are five basic structures for reporting data: work breakdown; line item; cost element; organization/labor element; and construction element. Reporting by work breakdown structure is the preferred method for management reporting.

(1) Work Breakdown Structure.

- (a) The participant work breakdown structure organizes the products of the work efforts into a hierarchy of elements starting from the overall objective(s) or end product(s) in the statement of work, and proceeding through successive levels to elements at the lowest level of detail required for effective management. "This establishes a framework for assigning responsibilities, delineating subobjectives, and monitoring progress. It also provides a basis for the uniform planning and status visibility required to accomplish the contractual agreement objectives. The project manager may require some participants to describe a complete work breakdown structure in the "Management Plan" submitted with the proposal. Participant reporting to DOE, however, is

REPORT		TYPE OF CONTRACTUAL AGREEMENT					
		CONTRACT		INTER AGENCY AGREE-MENT	FI		
		Firm Fixed Price	Cost Type		Loan	Loan Guarantee	
CATEGORY/Name	Form Number						
A. GENERAL MANAGEMENT							
Management Plan	N/A	X	X	X	X	X	
Summary Report	1332.1		X	X	X	X	
Status Report	N/A	X	X	X	X	X	
B. SCHEDULE/LABOR/COST							
Milestone Schedule/Plan	1332.3	X	X	X	X	X	
Labor Plan	1332.4		X				
Cost of Money Factors	1332.5		X	Excluded by Definition			
Contract Cost of Money	1332.6		X				
Cost Plan	1332.7		X	X	X	X	
Milestone Schedule/Report	1332.8	X	X	X	X	X	
Labor Management Report	1332.8		X				
Cost Management Report	1332.9		X	X	X	X	
C. EXCEPTION REPORTS							
Conference Record	N/A	X	X	X	X	X	
Hot Line Record	N/A	X	X	X	X	X	
D. PERFORMANCE MEASUREMENT							
Management Control System Description	N/A		X	Excluded by Definition			
WBS Dictionary Index	1332.10		X		X	X	
Elem. Def.	1332.11		X		X	X	

Figure II-1
Forms Included in Uniform Reporting System

TYPE OF CONTRACTUAL AGREEMENT

REPORT		CONTRACT		INTER AGENCY AGREEMENT	FI			
CATEGORY/Name	Form Number	Firm Fixed Price	Cost Type		Loan	Loan Guarantee		
Cost Performance Report								
Form 1-WBS	1332.12		X		X	X		
Form 2-Function	1332.13		X		X	X		
Form 3-Baseline	1332.14		X		X	X		
E. FINANCIAL INCENTIVES		Excluded by Definition						
Statement of Income and Expense	N/A						X	X
Balance Sheet	N/A						X	X
Cash Flow Statement	N/A						X	X
Statement of Changes in Financial Position	N/A						X	X
Loan Drawdown Report	N/A						X	X
Operating Budget	N/A						X	X
Supplementary Information	N/A			X	X			
F. TECHNICAL								
Notice of Energy RD&D Project	DOE 538	X	X	X	X	X		
Technical Progress Report								
Draft for Review	N/A	X	X	X	X	X		
Final App. Report	N/A	X	X	X	X	X		
Topical Report	N/A	X	X	X	X	X		
Final Technical Report								
Draft for Review	N/A	X	X	X	X	X		
Final App. Report	N/A	X	X	X	X	X		

usually required for only the top three levels of the work breakdown structure applicable to the contractual agreement, but may be required at lower levels for critical elements. Figure II-2 presents an example work breakdown structure for a contract. Additional guidance on the work breakdown structure technique is found in DOE/MA-0040, "Work Breakdown Structure Guide."

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

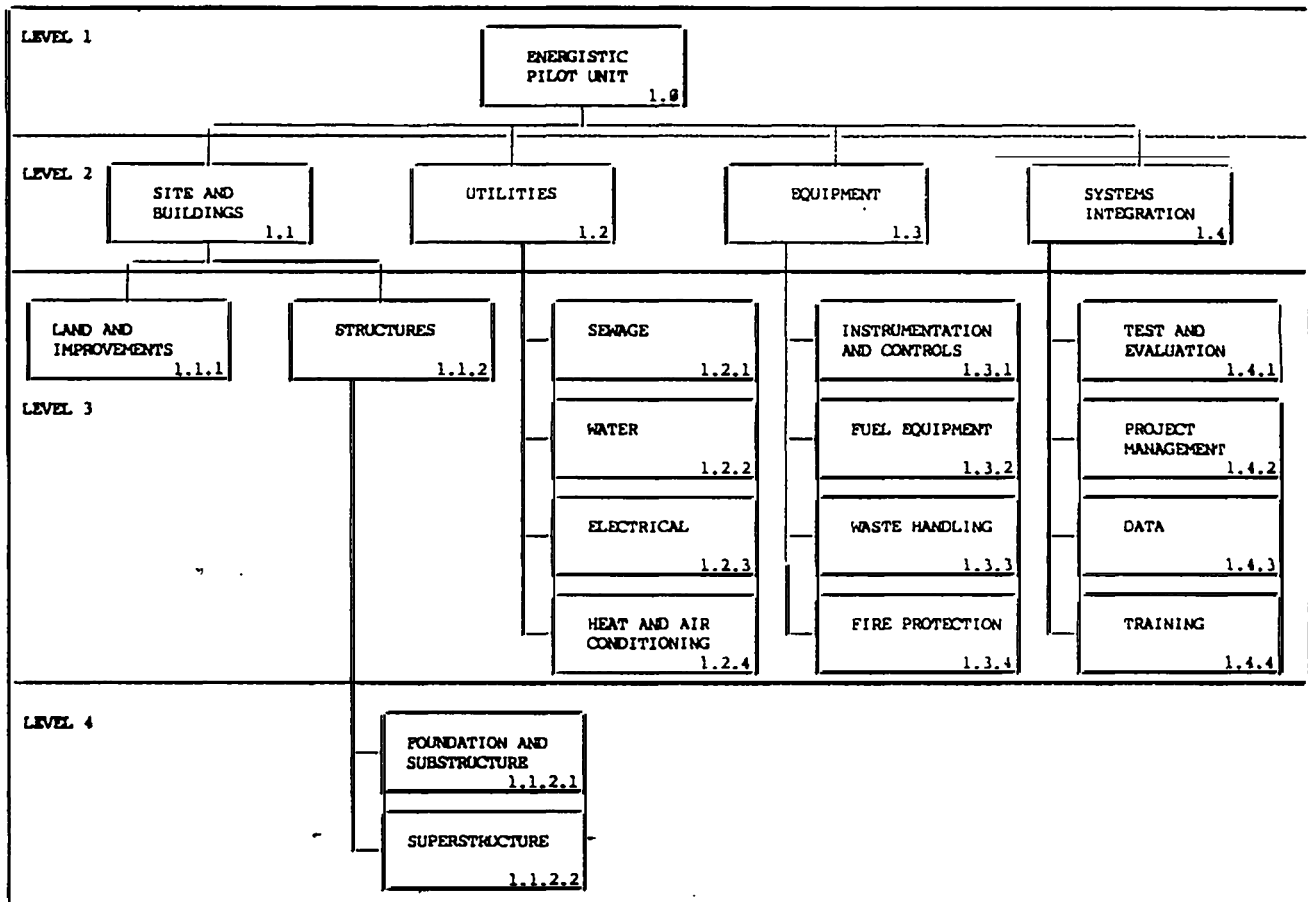


Figure II-2
Example Work Breakdown Structure

in status reporting. Some reports may require greater detail than others. In general, the savings which DOE management expects to produce from one additional item of information required must exceed the expected cost of obtaining, analyzing, and retaining that item of information. There is, for example, a significant cost involved in investigating and reporting a large number of variances at a low level.

- d. Standardization. Each plan and report must have the same element codes and reporting elements. For each reporting element, the participant shall provide an element code and descriptive name. There should be only one element per report line. Elements of work reported as sub-totals shall be listed under the related subelements. The total or subtotal for the element shall be specified as shown in Figure II-3. The project manager should coordinate with the participant and the cognizant finance office to ensure that all parties are using the same time frames and data definitions for cost and financial data.
- e. Reporting by Budget and Reporting Number. In each plan and report, the costs should also be reported by budget and reporting (B&R) number. If multiple budget and reporting numbers are associated with a contractual agreement, the project manager will ensure that the correct procedure is employed for allocating planned and actual accrued costs among them.

2. GENERAL MANAGEMENT PLANS AND STATUS REPORTS.

- a. General. One plan and two reports are directed to overall management planning and summary reporting. The overall "Management Plan" provides both the participant and the project manager with a baseline against which status can be measured. One of the reports provides narrative discussion of schedule, labor, cost, and technical status relative to the plan, with emphasis on those events and actions which have resulted, or may in the future result, in variances from the plan. All contractual agreements may require one or more of the general management plans and reports briefly described in the following sections.
- b. 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 II-9 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.

MANAGEMENT PLAN	
I.	EXECUTIVE SUMMARY
II.	INTRODUCTION/BACKGROUND
III.	PLANNED ACCOMPLISHMENTS
	A. Technical
	B. Schedule
	c. cost
	D. Financial
IV.	MANAGEMENT SYSTEMS AND CONTROLS DESCRIPTION
	A. General
	B. Organization
	c. Planning and Budgeting
	D. Accounting
	E. Analysis
	F. Revisions and Data Access
V.	TECHNICAL SYSTEMS AND COTROLS DESCRIPTION
	A. System Engineering
	B. Configuration Management
	c. Quality Assurance
	D. Safety Engineering
	E. Environmental Engineering
	F. Data Processing
	G. Other
VI.	ADMINISTRATIVE SYSTEMS AND CONTROLS DESCRIPTION
	A. Security
	B. Health and Safety
	c. Personnel
	D. Legal
	E. Procurement
	F. Data Processing
	G. Property Management
	H. Subcontractor Controls
	I. Other
VII.	FINANCIAL SYSTEMS AND CONTROLS DESCRIPTION
	(For Financial Incentives)
	A. Income
	B. Expense
	C. Cash
	D. Inventory
	E. Receivables
	F. Fixed Assets
	G. Payables
	H. Other Current Liabilities
	I. Long-Term Liabilities
	J. Equity
	K. Other

Figure II-9
Management Plan Outline

- (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. (For an example of the "Work Breakdown Structure Dictionary," see pages II-47 and II-49.)
- (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. A detailed outline which may be used is shown in Figure II-M.

A. GENERAL	D. ACCOUNTING
<ol style="list-style-type: none"> 1. Company Policy for Cost/Schedule Performance 2. Administration of Policy 3. system Summary 	<ol style="list-style-type: none"> 1. Procedures 2. Elements of Cost 3. Material Cost Control 4. Purchase Order System 5. Data Base Description 6. Recurring/Nonrecurring costs 7. Overhead Procedures 8. Data Reconciliation
B. ORGANIZATION	E. ANALYSIS
<ol style="list-style-type: none"> 1. Contract Work Breakdown Structure Development Procedures 2. Project Organizational Structure and Responsibility 3. Integration of Contract Work Breakdown Structure With Organizational Structure 4. Integration of Planning, Scheduling, Budgeting, Work Authorization, and Data Accumulation System 5. Subcontract Identification and Control 	<ol style="list-style-type: none"> 1. Earned Value Meaning, Calculation, and Use 2. Comparison of Actual Versus Planned Performance 3. Variance Analysis Procedures 4. Estimate at Completion Derivation
C. PLANNING AND BUDGETING	F. REVISIONS AND ACCESS TO DATA
<ol style="list-style-type: none"> 1. Work Authorization 2. Schedule Development and Control 3. Cost Account/Work Package Development and Planning 4. Establishment of Performance Measurement Baseline 5. Overhead Planning and Budgeting 6. Management Reserve Control Procedures 7. Undistributed Budget Control Procedures 	<ol style="list-style-type: none"> 1. Baseline Maintenance 2. Change Incorporation 3. Internal Replanning 4. Formal Reprogramming 5. Internal and External Reporting Procedures 6. Systems Surveillance 7. Access to Data

Figure 11-10
Management Control Systems Description Outline

- (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 systems 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.
- c. 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 baselines in excess of stipulated thresholds by reporting element, causative factors, and actions taken or proposal 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. Figure 11-11 shows an example of the narrative section of a completed "Status Report" in standard format. Figures 11-12, 11-13, and 11-14 show completed examples of the attachments.
- d. The "Summary Report" (DOE F 1332.2) provides a concise, top level summary of schedule, labor, and cost performance against the baseline plans. Most data are presented graphically. The format permits rapid visual comparison of schedule, labor, and cost data. There are three segments: a cost status graph, a labor status graph, and a milestone chart. The cost and labor graphs are cumulative presentations. Planned and actual numerical data presented are for the periods specified. Labor and cost variances are shown on a monthly and a cumulative basis. An example of a completed "Summary Report" for a contract is shown on page II-28.

<p>CONTRACT TITLE AND NUMBER: Energetic Pilot Unit DE-AC91-82HQ21347</p> <p>CONTRACTOR NAME: BKVS Inc. 3000 Construction Blvd. Anyplace, VA 22299</p> <p>CONTRACT PERIOD: 10-1-81 - 6-15-85</p>	<p>November 5, 1982 Report No. EPU 82-12 Report Period: 10-1-82 - 10-31-82</p>
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1. **CONTRACT OBJECTIVE:** No change.

2. **TECHNICAL APPROACH CHANGES:** No change to technical approach

3. **CONTRACT (By Reporting Element)**

1.1 — Site and Buildings. As of the end of the reporting period, this task was slightly behind schedule and experiencing a cumulative overrun to plan of \$1,190,000. Poor weather has been a recent instrumental factor for this situation; however, previously reported engineering problems in both Land and Improvements (1.1.1) and Foundation and Substructure (1.1.2.1) have been the major contribution to the cumulative cost overrun. Additional labor has been planned to bring the activity back on schedule. Estimate to complete this activity is that all structures will be completed on schedule with a final overrun to plan of \$560,000. The Foundation and Substructures task is currently 3% behind schedule.

1.3 — Equipment. Further schedule slippages are due to rework required by failure to meet seismographic test criteria in subtask 1.3.1, Instrumentation and Control. This has added to the cumulative behind schedule and cost overrun conditions created by the engineering problems earlier in the calendar year, which have virtually been resolved. As of now, no schedule delay is forecast to other activities. Vendor savings not forecast in other equipment areas may help to offset the existing cost deficit; by the next report we will have estimated some savings in this area due to changes to equipment vendors which offer more competitive prices.

1.4.1 — Systems Test and Evaluation. Overrun to date of \$520,000 primarily caused by test failures explained above and overtime.

1.4.3 — Data. A slight overrun to planned costs (current month and cumulative) caused by delivery of additional data requested by the customer in advance.

4. **OPEN ITEMS:** None

5. **SUMMARY STATUS ASSESSMENT AND FORECAST:**

Management reserve funds in the amount of \$10,000,000 were spread this month into the FY 83 baseline budgets. Changes were necessitated primarily to recover the existing schedule deficit and to compensate for the new union contract which raised direct labor rates (discussed in preceding "Status Report" and in the "Hot Line Report" of 10-5-82). Considering the numerous engineering problems faced in the early phases the overall project is considered to be healthy from a cost, schedule, and technical standpoint. Additional high grade engineering manpower has been directed from other projects into the Instrument and Control area in a continuing effort to maintain schedule. This has, of course, resulted in increased costs to date, but has not affected efforts in other areas. The current behind schedule conditions in Site and Buildings should be corrected by March 1983. The current behind schedule condition in the Equipment area is primarily in subcontracts. Corrective actions cited by our subcontractors are being carefully monitored.

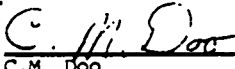
<p>Attachments: Funding Status Funding Status By Time Period Cost Change Reconciliation</p>	<p> C.M. Doo Project Manager</p>
------------------------------------------------------------------------------------------------------------	------------------------------------------------------------------------------------------------------------------------------

Figure 11-11
Example Status Report

1. Reporting Element	2. Funding Author- ized to Date	3. Accrued Cost & Outstand- ing Com- mitments	4. EAC Author- ized Work	5. Forecast Not Yet Author- ized	6. Forecast All Other Work	7. Total Funding Require- ments	8. Funds Carry- Over	9. Net Funds Re- quired
TOTAL (Thousands)	230,220	108,670	306,204	0	0	306,204	0	306,204

INSTRUCTIONS

Columns (1) and (2) are self-explanatory. Column (3) shows the accrued cost incurred through the end of the reporting period plus commitments outstanding on that date. The data in column (4) equal the value on which the contractual agreement has been reached plus the estimate of funds required for work which has been authorized but for which no contractual agreement has been reached. Column (5) provides an estimate of funds required for changes which have been proposed, but which have not yet been authorized. Column (6) shows any funds for additional work not yet authorized, but anticipated to be performed and for which the contractor plans to submit a proposal expected to be acceptable to the DOE project manager. The funding requirements shown in columns (4), (5), and (6) become progressively more uncertain, with the total shown in column (7). Column (8) provides the dollar value by which incrementally funded contracts had funds in excess of prior years' requirements which, when subtracted from the value in column (7) provide the funds requirements shown in column (9). Where appropriate, columns (2) through (9) include fee.

Figure II-12
Example Funding Status

3. SCHEDULE, LABOR, AND COST PLANS AND STATUS REPORTS.

- a. General. There are five formats for schedule, labor, and cost plans, and three for schedule, labor, and cost reports. Detailed preparation instructions appear on the reverse side of the forms.
- b. Plans. Schedule, labor, and cost plans provide milestone, labor, and cost data for the time frame of the contractual agreement. They are incorporated in the "Management plan" and serve as the basis for assessment of progress.
 - (1) The "Milestone Schedule Plan/Status Report" (DOE F 1332.3) is a dual purpose form to be used first as a baseline plan and then as a status report. When used as the "Milestone Schedule Plan," it establishes the contractors time schedule for accomplishing the planned events and milestones for each reporting category

ITEM	(A) ACTUAL TO DATE	(B) SELECTED PERIOD (MO, FY)				(C) AT COMPLETION
		Fiscal Year 1983		FY 84	FY 85	
		Nov. 82	Balance FY 83			
1. Accrued cost	108,670	15,641	110,941	53,901	15,011	304,164
2. Outstanding Commitments	0	0	0	0	0	0
3. Total	108,670	15,641	110,941	53,901	15,011	304,164
4. Termination costs	—	—	—	—	—	—
5. Forecast of Billing to the Government	108,678	15,641	110,941	53,901	15,011	304,164 ^{1/}

1/

Final figures do not include unscheduled management reserve funds of \$2,040.

All dollars in thousands.

INSTRUCTIONS. Data entered in column (A) will be actual to date. Remaining columns are estimates. Columns in (B) represent monthly, quarterly, or fiscal year estimated costs as presented by the contractor. Row (1) shows actual or estimated accrued costs as appropriate for each column. Row (2) contains actual or estimated outstanding commitments at end of period, as appropriate for each column. Row (3) is the total of rows (1) and (2). Row (5) contains the actual or estimated billings to the Government at end of period, as appropriate for each column. All data items include fee. The row (3), column (C) entry should be identical with the row (5), column (C) entry, and with item (7) in the Funding Status report. Row (4), "Termination Costs" should be completed in the event of contract cancellation.

Figure 11-13
Funding Status by Time Period

		Report Date: 11-20-82
CONTRACT NUMBER: DE-AC01-82HQ21347		
ORIGINAL CONTRACT VALUE:		\$239,244,000
SUPPLEMENTAL AGREEMENTS:		
Nos. 1-12	\$	37,750,000
No. 13	\$	1,280,000
No. 14	\$	640,000
No. 15	\$	14,200,000
No. 16	\$	7,670,000
No. 17	\$	3,890,000
SUBTOTAL		<u>\$ 65,430,000</u>
PRESENT CONTRACT VALUE		\$304,674,00g
Changes Authorized but Not Finalized	0	
Anticipated (Over) or Underrun	(1,530,000)	
SUBTOTAL		<u>1,530,000</u>
CONTRACTOR ESTIMATE		<u>\$306,204,000</u>
Changes Under Consideration but Not Authorized	0	
Changes To Be Proposed	0	
SUBTOTAL		<u>0</u>
TOTAL FUNDS REQUIRED		\$306,204,000

Figure 11-14
Example Cost Change Reconciliation

identified in the contract. It encompasses each line item, task, or work breakdown structure element required by the contractual agreement for inclusion in the plan. Standard symbols and charting conventions described on the reverse side of the form are used to chart the intermediate events and milestones of each reporting category. A "Milestone Log," which is included as an attachment to the "Milestone Schedule Plan/Status Report," lists intermediate events and critical milestones with the element code (such as 1.2.1A),

descriptive name of the event or milestone, and the scheduled date of completion. An example baseline "Milestone Schedule Plan" and a companion "Milestone Log" for a contract are shown on pages II-30 and II-32, respectively.

- (2) The "Labor Plan" (DOE F 1332.4) establishes the planned utilization of labor for the term of the contract and addresses the total labor to be utilized to perform the agreed work. It itemizes labor requirements for prior fiscal years, the current fiscal year by month, and future fiscal years until contract completion. A completed example of a "Labor Plan" - Detail By Work Breakdown Structure Element - is shown on page II-33.
- (3) The "Facilities Capital Cost of Money Factors Computation" (DOE F 1332.5) is used by the contractor to accumulate total facilities capital net book values allocated to each business unit for the cost accounting period and convert those values to facilities capital most of money factors applicable to each overhead or general and administrative expense allocation base employed within a business unit. This report identifies the applicable cost of money rate and displays the accumulation and direct distribution of net book value, the allocation of undistributed net book value, their total, the cost of facilities capital money for the accounting period, the allocation base for the period, and the calculated facilities capital cost of money factors. A completed example is included on page II-35.
- (4) The "Contract Facilities Capital and Cost of Money" (DOE F 1332.6) facilitates computation of the estimated facilities capital to be used for a specific contract proposal, using the data developed on the "Facilities Capital Cost of Money Factors" form. This form provides for the evaluation of the cost of money computation employed in the overhead pools allocated to the contract. The Federal Acquisition Regulations, subpart 31.205-10, addresses applicability and provides further explanation. A completed example is shown on page II-37.
- (5) The "Cost Plan" (DOE F 1332.7) establishes the plan for accruing total costs for the life of the contractual agreement. The time-phased baseline plan establishes the basis for the measurement of actual cost accumulation and provides basic information for updating and forecasting budget requirements. The "Cost Plan" itemizes accrued costs for prior fiscal years, the current fiscal year by month, and future fiscal years until completion of the contractual agreement. A completed "Cost Plan" - Detail by Work Breakdown Structure Element - is shown on page II-39.

- c. **Reports.** schedule, labor, and cost status reports provide milestone, labor, and cost data to date as well as projections of future progress. Variances from plan in excess of predetermined thresholds are discussed in the "Status Report."

- (1) The "Milestone Schedule Plan/Status Report" (DOE F 1332.3) is a dual purpose form. As the "Milestone Schedule Status Report" it measures the completion status of activities and events shown on the baseline "Milestone Schedule Plan" and shows planned and accomplished events and milestones, and changes in schedule. It addresses each item, task, or work breakdown structure element required by the contractual agreement at the same level of detail as the baseline plan. A completed example of the "Milestone Schedule Status Report," accompanied by a "Milestone Log," is shown on pages II-41 and II-42.
- (2) The "Labor Management Report" (DOE F 1332.8) is a periodic report of the status of labor resource utilization to be compared with the "Labor Plan." Both DOE and participant management use it for monitoring, controlling, and replanning allocation of labor resources. This form contains actual labor expended for the reporting and prior periods and estimates of labor usage for the remainder of the fiscal year and the balance of the effort. A completed example of a "Labor Management Report" - Detail by Work Breakdown Structure Element - is shown on page II-43.
- (3) The "Cost Management Report" (DOE F 1332.9) is a periodic report of the cost status of the contractual agreement to be compared with the "Cost Plan." Both DOE and participant management use it for monitoring, controlling, and planning allocation of dollar resources. This form contains actual cost status for the reporting and prior periods, and estimates of dollar costs for the remainder of the fiscal year and the balance of the effort. A completed example of a "Cost Management Report" -Detail by Work Breakdown Structure Element - is shown on page II-45.

4. EXCEPTION REPORTS.

- a. General. There are two types of exception reports, the content of which normally relates to plans discussed elsewhere. All contractual agreements may require both of these reports, which are described briefly in paragraphs 4b and 4c.
- b. The "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. Figure 11-15 *shows* a completed example of a "Conference Record." The report shall contain the-following information as applicable:
 - (1) Report title ("Conference Record"), number, and the date prepared.
 - (2) Contractual agreement identification and number, and the participant's name and address.

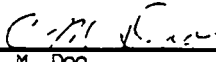
CONFERENCE RECORD	No.: EPU-CR-29 Date: 10-29-82
IDENTIFICATION TITLE AND NUMBER: Energistic Pilot Unit DE-AC91-82HQ21347	
PARTICIPANT NAME AND ADDRESS: BKVS Inc. 3000 Construction Blvd. Anyplace, VA 22299	
MEETING DATE: 10-26-82	
PARTICIPANTS: J. A. Smith, DOE Project Manager M. A. Walsh, DOE Contracting Officer's Technical Representative A. M. Lawton, DOE General Counsel C. M. Doo, Project Manager, BKVS J. S. Doe, A/E Representative, BKVS	
SUBJECTS DISCUSSED:	
<ul style="list-style-type: none"> a. HR 201920 Virginia - Use of Watersheds. b. Environmental impacts of HR 201920. c. Continuation of site work pending resolution of legalities. 	
DECISIONS REACHED:	
<ul style="list-style-type: none"> a. DOE/BKVS to present Environmental Impact Statement for protection of Watershed and alternatives, pending appropriate contract modification; this task to be assigned to Work Breakdown Structure Element 4.2 (Program Management). b. Construction of buildings to cease, effective 12-1-82, if legal issues not resolved. 	
DIRECTIONS GIVEN:	
BKVS to revise Work Breakdown Structure, Cost, Labor, and Milestone Schedule Plans to the extent necessary to incorporate impact of HR 201920.	
VARIANCES FROM PRIOR DIRECTIONS AND CONCLUSIONS:	
Additional task added for Environmental Impact Statement pending completion of Contract Modification. Significant Cost and Schedule changes will occur if stop work order issued on 12-1-82.	
REQUIRED ACTIONS:	
<ul style="list-style-type: none"> a. Exemption to be explored through DOI by DOE. b. DOE to authorize modification to incorporate changes required by HR201920 Virginia. c. BKVS to revise Environmental Impact Statement incorporating watershed protection. d. BKVS to revise plans (Cost, Labor, Schedule) for accomplishing additional task. 	
 <hr/> C. M. Doo Project Manager	
Distribution	
Ralph Richards, DOE Office of Procurement Operations, MA-452	
J. A. Smith, DOE Office of Special Projects, MA-22.1	
M. A. Walsh, DOE Office of Special Projects, MA-22.2	
A. M. Lawton, DOE Office of General Counsel, 6A-245	
J. S. Doe, A/E Representative, BKVS	

Figure 11-15
Example Conference Record

- (3) Date of meeting or telephone conversation, with a list of those involved and their titles.
 - (4) Subject(s) discussed, decisions reached, and directions given.
 - (5) Variances from previous directions and inclusions.
 - (6) Required actions.
 - (7) Distribution.
 - (8) Signature of Preparer.
- c. The "Hot Line Report" 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. The report is submitted by the most rapid means available, usually electronic, and should confirm telephone conversations with DOE representatives. An example "Hot Line Report" is shown in Figure 11-16. The report should include:
- (1) Participant's name and address;
 - (2) Contractual agreement identification and number;
 - (3) Date;
 - (4) Brief statement of problem or event;
 - (5) Anticipated impacts; and
 - (6) Corrective action taken or recommended.

5. PERFORMANCE ^{MEASUREMENT} ~~CRITERIA~~ PLANS AND STATUS REPORTS.

- a. General. The importance and complexity of major system acquisitions and projects require assurance that the participant employs effective management control on contracted work. On selected contracts supporting such projects, the project manager contractually applies the cost and schedule control systems criteria in compliance with DOE 2250.1A. Other contracts may similarly benefit from criteria application. The performance measurement plans and reports are normally required of a contractor when the criteria are applied to a contract. They may also be required on **other** contracts.

TWX

October 5, 1982

TO: Department of Energy
Mr. M. A. Walsh
Office of Special Projects (MA-22.2)
Washington, DC 20585

FROM: C. M. Doo
BKVS Inc.
3000 Construction Blvd.
Anyplace, VA 22299

SUBJECT: Hot Line Report, No. EPU 82-7, Labor Negotiations

REF: Energistic Pilot Unit, DE-ACOL-82HQ21347

AS discussed in our conversation of this morning, October 5, 1982, negotiations have been completed with various subcontractors resulting in successful contract and ratification thus averting a strike. We anticipate that use of management reserve funds will be required to compensate for added costs resulting from increase in direct labor costs.

Figure II-16
Example Hot Line Report

- b. Plans. A Work Breakdown Structure Dictionary and a Management Control Systems Description 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. See paragraphs II.b. (3) and II.b. (4), respectively, and referenced figures.

- c. Reports. The "Cost Performance Report" consists of three formats (DOE F 1332.12, DOE F 1332.13, and DOE F 1332.14) that contain integrated cost/schedule data for measuring contractor performance. The "Cost Performance Report" compares the budgeted cost for work performed with the budgeted cost for work scheduled and with the actual cost of work performed to determine schedule and cost variances, both expressed in dollars. It is important to establish reasonable thresholds for variances that require contractor explanation in the "Status Report" (Figure 11-10).

- (1) "Cost Performance Report" - Work Breakdown Structure (Format 1) (DOE F 1332.12) is used to report cost and schedule performance by work breakdown structure element. The level of detail to be reported is left to the discretion of the project manager and is subject to negotiation. Usually this is limited to level 3 of the contractor work breakdown structure. Reporting at lower levels of the work breakdown structure may be required for critical activities. A completed copy of this format is shown on page II-51.

- (2) "Cost Performance Report" - Functional Categories (Format 2) (DOE F 1332.13) is used to report cost and schedule performance in accordance with the contractor's internal organizational structure. The totals on this report are consistent with the totals in Format 1. Format 2, in conjunction with Format 1, provides a two-dimensional view of the contractor's cost and schedule performance. A completed copy of this format is shown on page II-53.
- (3) "Cost Performance Report" - Baseline (Format 3) (DOE F 1332.14) is intended to assist project managers in monitoring baseline changes which result from contract changes or internal replanning (including the use of management reserve budget). The format provides a monthly update of the performance measurement baseline to reflect the overall effects of changes made during the month. It also provides a summary track from the original contract negotiated cost to current rests (negotiated and unpriced). A completed copy of Format 3 is shown on page II-55.

6. FINANCIAL INCENTIVES PLANS (PRO FORMAS) AND STATUS REPORTS.

- a. General. There are six financial incentives plans and status reports each to be accompanied by supplementary information as appropriate. The financial incentives plans and reports briefly described in paragraphs 6b and 6c are required from recipients of financial incentives only.
- b. Description of Plans and Reports. Financial incentives plans and status reports requirements are described below. Formats are identical for plans and reports except that plans are labeled "Pro Forma."
 - (1) Statement of Income and Expense is a statement of the increase or decrease in the owner's equity of an entity arising from profit-seeking operations (as distinct from owner investments or withdrawals) during a given period of time.
 - (2) Balance Sheet is a statement of the assets, liabilities, and owner's equity of an entity at a given time.
 - (3) Cash Flow Statement is a statement of the sources and uses of funds, with funds defined as working capital.
 - (4) Statement of Changes in Financial Position is a statement of the sources and uses of funds with funds defined as total assets.
 - (5) Loan Drawdown Report is a statement of the total funds made available to the borrower by DOE action and of the portion that has been received to date.
 - (6) Operating Budget covers the total period budget for operating the entity, structured by Departmental or functional organization element, and itemized by cost element.

- (7) Supplementary Information is other material necessary to provide the full disclosure required for credit management.
- c. General Requirements. The borrower may prepare such reports as are most useful for its own purposes, provided that information useful to DOE is clearly communicated. The project manager should ensure that the following guidelines are followed by borrowers in the preparation of their financial reports.
- (1) Format. Balance sheets should be submitted in report format, not account format, and should include only three major sections: assets; liabilities; and owner's equity. Income statements should be submitted in single-step format.
 - (2) Headings. The heading of each financial report must clearly state the name of the company, the state of incorporation, the name of the report, the period or date represented by the reported date, and whether or not the statements are consolidated.
 - (3) Data Precision. Numeric data may be rounded as appropriate but must be mathematically correct.
 - (4) Clarity. Wording must be concise and clearly descriptive.
 - (5) Classification. The reporting classifications in financial statements must be designed to assist DOE in its monitoring and decisionmaking; they shall not overlap.
 - (6) Historical Comparison. Reports should compare most recent data with similar data from an appropriate earlier period or periods. Summaries must compare data for each of the most recent 5 years, or for the life of the loan if less than 5 years.
 - (7) Objectivity. Reported data must be determined in a fair and unbiased manner so that a disinterested party would be expected to verify the result.
 - (8) Full Disclosure. All financial data that are material to evaluating managerial ability and credit worthiness must be fully disclosed. Narrative information required for proper interpretation shall be reported, including the accounting methods used and the basis of asset valuations.
 - (9) Uniformity/Consistency. Accounting principles, classifications, and terminology must be consistent within and between accounting periods. The borrower must fully disclose any necessary changes or inconsistencies and their effect.
 - (10) Consolidation. For reporting to DOE, a **borrower may not** consolidate reports with those of a controlling entity unless the controlling entity is fully responsible for repayment of the borrower's total indebtedness to DOE.

d. Specific Requirements.

- (1) Income Statements. The project manager should ensure that income statements reported to DOE specifically include full disclosure of the following:
 - (a) Extraordinary items net of income taxes, including early debt retirement;
 - (b) Allocated income tax expense;
 - (c) Pension costs;
 - (d) Depreciation expense and methods for compensation;
 - (e) Method for determining cost of goods sold;
 - (f) Effect on net income of changes in accounting principles or methods;
 - (g) Effect on operations of any pooling or purchase of interests; and
 - (h) Details of rental and lease agreements.
- (2) Balance Sheets. The project manager should similarly ensure that balance sheets reported to DOE specifically disclose the following:
 - (a) Methods of valuation of assets and liabilities, including methods of depreciation for major classifications of assets;
 - (b) Details of investments, including market value of any securities when significantly above cost;
 - (c) Changes in depreciating assets, and related accumulated depreciation;
 - (d) Liquidation preferences of preferred stock and description of long-term liabilities;
 - (e) Changes in details of stockholder's equity items;
 - (f) Any pooling of interests;
 - (g) Stock option plans;
 - (h) Rental and lease commitments; and
 - (i) Unfunded liabilities.

- (3) Forecasts. When forecasts are reported, the project manager should ensure that the borrower observes the following general guidelines:
- (a) Standard Format. Forecasts must be presented in the same format as comparable financial reports.
 - (b) Single Most Probable Result. A forecast must report what borrower management believes to be the single most probable result of future planned activities. Because all forecasts are uncertain, a range of results should also be forecast.
 - (c) Assumptions and Their Effects. Assumptions underlying the forecast must be reasonable, appropriate, explicitly stated, and supported in proportion to the potential impact on the forecast if the assumption proves erroneous.
 - (d) Preparation of Forecast. Forecasts must be carefully prepared by qualified personnel using the best available tools and data, and following documented procedures. The forecasts must be reviewed and approved by management responsible for execution of the activities being forecast. The process through which the forecasts were developed must be adequately documented, as should the forecasts themselves.
 - (e) Forecast Error Tracking. Forecast results must be regularly compared to actual results as a basis for improvement and as an indicator of future forecast accuracy.

7. TECHNICAL REPORTS.

- a. General. Technical reports provide the DOE project manager and the research community with the scientific and technical information resulting from the work performed by contractors, agencies, laboratories, and other organizations. Scientific and technical information developed during work supported by DOE also shall be reported promptly and fully, in accordance with the policy established in DOE 1430.1, to the Office of Scientific and Technical Information, P.O. Box 62, Oak Ridge, TN 37831. This ensures that the findings are included in DOE's information data base and, as security, patent, and other DOE policy considerations permit, that they are made available to the scientific, technical, and industrial communities and to the public through approved channels. Because the scientific and technical information program is a basic and integral part of DOE's research and development program, research and development projects cannot be closed until the scientific and technical information (unlimited, limited, controlled, and classified) is recorded, documented, and provided to the Office of Scientific and Technical Information for processing, control, and dissemination (when appropriate). DOE patent counsel reviews such publications prior to release for publication to prevent premature disclosure of inventions and other proprietary information.

Not all DOE programs produce the full range of technical reports. For example, small loans or loan guarantees that involve research, development, or demonstration projects may only require a final technical report; small training programs may not require any technical report.

b. Description of Reports. Technical reports include the following:

- (1) Progress Reports which summarize the work performed during a specific reporting period and include the technical and scientific results (both positive and negative) of that period.
- (2) Topical Reports which are comprehensive statements of the technical results of work performed on a specific task or phase of all contractual agreements for research and development efforts. They also can be detailed descriptions of scientific or technological advances.
- (3) Final Reports are required for all contractual agreements for research and development work. These reports are technical accounts of the total work performed under the contractual agreement. They are comprehensive descriptions of the results achieved and of the investigations undertaken, and they include tabulations of data, figures, photographs, and bibliographic citations in support of the investigations undertaken. Where applicable, they summarize all topical and technical progress reports.
- (4) Other Technical Reports/Publications such as journal articles, conference papers, books, theses, and translations.
- (5) Software Submittals as required in DOE 1430.2 and DOE 1360.4.
- (6) Notice of Energy RD&D Project (Form DOE 538) which provides the Office of Scientific and Technical Information with a descriptive summary of the RD&D project for inclusion in its Research-In-Progress data base. A completed example is shown on page II-58.

c. General Content. The DOE project manager will ensure that the participant has been informed that:

- (1) Each report of a scientific, technical, and engineering information nature should begin with a statement of the original objectives of the effort and a concise summary of the progress achieved during the reporting period. The body of the report should contain a full account of progress, problems encountered, plans for the next reporting period, and an assessment of the prospects for future progress. The author(s) of the report should clearly identify technical factors which affect, either positively or negatively, plans for achieving the objectives on schedule and within the funds available.

- (2) The report should include sufficient detail to allow the work to be reproduced by others. Each report should include a thorough account of activities directed toward application of the results, such as investigation of user needs, work or collaboration with potential users, and activities to disseminate the results. It should also include a discussion of how these activities have affected the course of the project, and may include utilization activities. They should not include proposals for further support. Such reports should be submitted separately to protect their privacy.
 - (3) Computer programs and routines with scientific, technical, and technology-related applications developed by participants should be discussed in the report and provided to the National Energy Software Center under the policies and procedures of DOE 1360.4, COMPUTER SOFTWARE SHARING.
- d. Specific Contents. Detailed requirements concerning report content and preparation are specified in DOE 1430.1 and DOE 1430.2, and related Office of Scientific and Technical Information documents.

CONTRACT EXAMPLE

LIST OF REPORTS	PAGE
Summary Report	II-28
Milestone Schedule Plan	II-31
Milestone Log	II-33
Labor Plan (Detail by Work Breakdown Structure Element)	II-34
Cost of Money Factors Computation	II-36
Contract Facilities Capital and Cost of Money	II-38
Cost Plan (Detail by Work Breakdown Structure Element)	II-40
Milestone Schedule Status Report	II-42
Milestone Log	II-43
Labor Management Report (Detail by Work Breakdown Structure Element)	II-44
Cost Management Report (Detail by Work Breakdown Structure Element)	II-46
Work Breakdown Structure Dictionary, Part I - Index	II-48
Work Breakdown Structure Dictionary, Part II - Element Definition	II-50
Cost Performance Report - Work Breakdown Structure (Format 1)	II-52
Cost Performance Report - Functional Categories (Format 2)	II-54
Cost Performance Report - Baseline (Format 3)	II-56
Example Notice of Energy RD&D Project	II-58

SUMMARY REPORT

PURPOSE

A graphic presentation of integrated cost, labor, and schedule information for rapid analysis and trend forecasting.




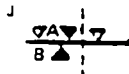



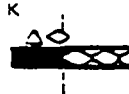



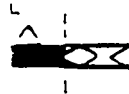



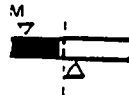





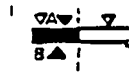
INSTRUCTIONS

- Item 1.** Enter the title, as it appears in the official document establishing the contractual agreement.
- Item 2.** Enter the inclusive start and completion dates for the reporting period for this report.
- Item 3.** Enter the contractual agreement identification number as it appears in the official establishing document.
- Item 4.** Enter the name and address including zip code of the contractor, organization, or agency, as they appear in the award instrument.
- Item 5.** Enter the official start date of the original contractual agreement.
- Item 6.** Enter the official completion date as of the latest official modification to the contractual agreement.
- Item 7.** Enter current fiscal year.
- Item 8.** In the extreme left of the 15 blocks enter the first letter of the fiscal year month of agreement or award initiation. Enter successive months as required. For new fiscal year "Summary Report" submissions enter the months of the new fiscal year plus the first three months of the subsequent fiscal year.
- Item 9.** Enter an appropriate scale in dollars for the horizontal lines in the grid. On the grid formed by the dollar scale and the months of the year, plot planned cumulative cost (using a dashed line) for the time period shown in Item 8. Plot actual cumulative cost (using a solid line) for each month up to and including the month being reported, with a dotted line extended from that point to indicate estimate of costs to be incurred. If applicable, enter total obligation ceiling line at the top of the graphical representation. The total obligation ceiling is the total funds obligated by the Government plus the participant's cost share. When applicable, reflect changes in obligation ceiling without changing prior month's ceiling. In subsequent fiscal year reports, adjust the graphic scale as necessary to accommodate for cumulative reporting to include prior fiscal year data.
- Indicate unit or measure applied to cost status graph (such as hundreds, thousands, etc.).
 - Enter the associated B&R numbers.
 - Enter the date of the current approved cost plan.
 - Enter total actual costs for all prior fiscal years.
 - Enter total planned costs for all prior fiscal years (see latest approved "cost plan," Item 8).
- Item 10.** Enter an appropriate scale in labor for the horizontal lines on the grid. On the grid formed by the labor scale and the months, plot planned cumulative labor (using a dashed line) for the time period shown in Item 8. Plot the actual cumulative labor (using a solid line) for each month up to and including the month being reported, with a dotted line extended from that point to indicate estimated labor to be incurred. If applicable, enter the total labor ceiling line at the top of the graphic representation. The total labor ceiling is the total labor funded by the Government plus the contractor's share, when applicable. Reflect changes in labor ceiling line without changing prior month's ceiling. In subsequent fiscal year reports, adjust the graphic scale as necessary to accommodate for cumulative reporting to include prior fiscal year data.
- Indicate unit of measure applied to labor status graph (exact, hundreds, thousands, etc.).
 - Enter the date for the latest approved "Labor Plan".
 - Enter total planned labor for all prior fiscal years.
 - Enter total actual labor for all prior fiscal years.
 - Enter current estimate of total labor required to complete the contract. This includes actuals for prior years, the current fiscal year actuals to date, plus the participant's best estimate of labor required to complete the remaining work on the contract.
 - Enter the total negotiated contract labor.
 - Enter total planned labor for each month indicated in Item 8.
 - Enter total actual labor for each month up to and including the month being reported.
 - Subtract the actual labor (10h) from the planned labor (10g) and enter the difference. Show unfavorable variances in parentheses.
 - Enter the cumulative variance by month. Show unfavorable variances in parentheses.
- f.** Enter the current estimated cost for the subsequent reporting period.
- g.** Enter total planned cost for each month shown in Item 8.
- h.** Enter total actual cost for each month shown in Item 8 up to and including the month being reported.
- i.** Subtract the actual cost (9d) from the planned cost (9c) for each month up to and including the month being reported and enter the difference.
- j.** Enter the cumulative variance by reporting period. Show unfavorable variances in parentheses.

Item 11. a through g — Enter event identifiers as established in contractual agreement. In the space to the right of each event, plot milestone and activity data by month. Use charting information shown at the end of these instructions. In the column entitled "Comments" enter any pertinent additional information concerning milestone status (e.g., schedule revision, date scheduled for milestones completion if not possible to show in graph, etc.).

Item 12. Signature of responsible contractor, agency, or organization project manager and date signed, verifying the validity of the information furnished based on the participant's knowledge of the progress and status.

Charting Information

SYMBOLS	EXAMPLES	SYMBOLS	EXAMPLE
 Major event	A  Major event with an activity bar	 Activity bar	J  Same as example I above except that here a time line is used in place of an activity bar
 Major event on project critical path	B  Time now and work done	 Time line	K  Original major event date and four approved changes (all slippages) to this date
 Intermediate event* (Deliverable, Supporting event, or decision point).	C  Schedule deviation (not yet approved)	 Time now	L  Original major event data and two subsequent approved changes (one improvement to that date)
 Intermediate event completed early or late	D  First change approved (slippage)	 Continues beyond time frame shown	M  Intermediate event schedule deviation.
 Proposed schedule deviation (late or early for a major event)	E  Improvement, not contractually implemented		
	F  First change approved (improvement)		
	G  Activity ahead of schedule		
	H  Activity behind schedule		
	I  Late and on time completion of intermediate events A and B, respectively		

U.S. DEPARTMENT OF ENERGY
MIL ON SCHEDULE (B) PLAN (C) STATUS PO

FORM APPROVED
LMB

Energetic Pilot Unit		REPORT NO.	IDE NO.		ION NUMB.																				
4 PARTICIPANT NAME AND ADDRESS		DE-AC01-81INJ1147		5 START DATE		6 COMPLETION DATE																			
BKVS, Inc. 3000 Construction Blvd. Anyplace, VA 22299		10-1-81		6-15-85																					
7 ELEMENT CODE	8 REPORTING ELEMENT	9 DURATION												10 PER CENT COMPLETE											
		FY 82						FY 83				FY 84			FY 85										
		O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	Q2	Q3	Q4	Q1	Q2	Q3	Q4	85	
1.1.1	Land and Improvements			VA					VB																
1.1.2.1	Foundation & Substructure					VA	VB																		
1.1.2.2	Superstructure																								
1.2	Utilities																								
1.3.1	Instruments & Controls																								
1.3.2	Fuel Equipment																								
1.3.3	Waste Handling																								
1.3.4	Fire Protection																								
1.4.1	Test & Evaluation																								
1.4.2	Project Management																								
1.4.3	Site																								
1.4.4	Training																								

11 SIGNATURE OF PARTICIPANT'S PROJECT MANAGER AND DATE
C. M. Doe 9/27/81

MILESTONE SCHEDULE PLAN/STATUS REPORT

PURPOSE

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

INSTRUCTIONS

Check the appropriate box to indicate whether the form is being submitted as a plan or a report.

- Item 1. Enter the title as it appears in the official document establishing the contractual agreement.*
- Item 2. Enter the inclusive start and completion dates for the reporting period when used as a report.*
- Item 3. Enter the identification number as it appears in the official establishing document and append the latest modification number.
- Item 4. Enter the name and address of the contractor, organization, or agency as they appear in the contractual agreement.*
- Item 5. Enter the official start date of the original contractual agreement.*
- Item 6. Enter the official completion date, as of the latest official modification to the contractual agreement.*
- Item 7. Enter the element codes relating to the line items, tasks, products, or work breakdown structure elements reported in Item 8.
- Item 8. Enter the same contractually specified reporting elements that are on the associated "Cost Plan" and "Labor Plan."

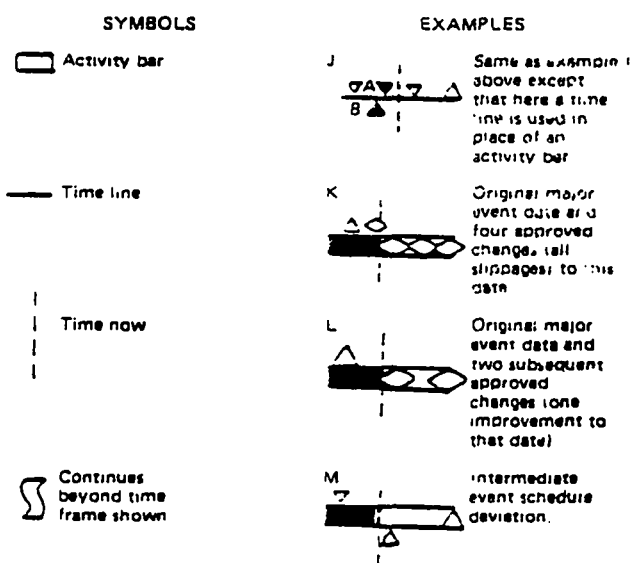
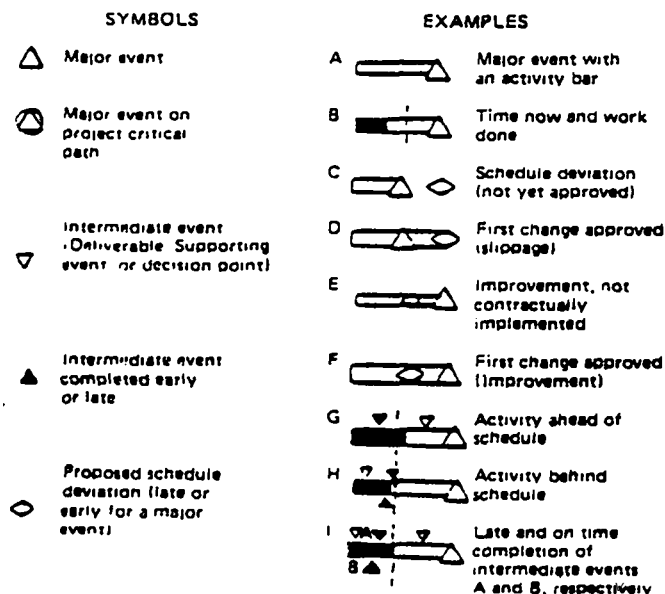
- Item 9. In the lower portion of the space for the item heading, enter the first letter of the month for the first report in the extreme left block. Enter successive months as required. Enter fiscal years in the upper portion of the heading space as appropriate for months. Separate fiscal years by extending vertical line between the months of September and October. Enter schedule data below the fiscal year and month headings and to the right of each element listed in Item 8. Use charting information shown at the end of these instructions.

- Note:
- a. Only one major event may be shown on a single horizontal line.
 - b. Intermediate events may be shown only with an activity bar or time line. These event symbols are placed above the bar or line and coded. A description of each should be provided in an attachment.

- Item 10. Based on the participant's best judgment, enter an assessment of actual percentage completed toward meeting the objective of each reporting element listed in item 8. All schedule variances which exceed established contract thresholds must be explained in the "Status Report."
- Item 11. Enter signature of responsible contractor, agency, or organization project manager and date signed verifying validity of the information furnished, based upon the participant's knowledge of the contract's progress and status.

*These items need only be entered on the first page of multipage reports.

Charting Information



U.S. DEPARTMENT OF ENERGY
MILESTONE LOG

ELEMENT CODE	DESCRIPTION	PLANNED COMPLETION DATE	ACTUAL COMPLETION DATE	COMMENTS
1.1.1.A	Demolition/Clearing	12-20-81		
1.1.1.B	Excavation	5-20-82		
1.1.1	Complete All Land Improvements	6-15-82		
1.1.2.1.A	Hot Sump	2-19-82		
1.1.2.1.B	Liner and First Slab	3-15-82		
1.1.2.1.C	Complete Foundations	8-10-82		
1.1.2.1	Complete Foundations/Substructures	3-31-83		
1.1.2.2.A	Complete Superstructures	5-20-83		
1.1.2.2.B	Complete Exterior Finishing	9-30-83		
1.1.2.2	Complete Finishing	5-15-84		
1.2.1.A	Complete Trench and Drains	3-31-82		
1.2.1.B	Complete Filtration System	9-15-82		
1.2.A	Complete Utilities Blueprints	3-30-82		
1.2.B	Installation of Water Trunk Lines	9-30-82		
1.2.C	Complete Water	3-30-83		
1.2.D	Complete Basic Electricity	6-15-83		
1.2.E	Complete Electrical Installation	10-15-83		
1.2.F	Complete HAC Equipment	8-30-84		
1.2	Complete Utilities	6-1-85		
1.3.1.A	Initial Installation Instruments/Controls	11-9-82		
1.3.1.B	Initial Test of Instruments/Controls	3-1-83		
1.3.1.C	Final Installation Adjustments	9-25-83		
1.3.1.D	Final Test of Instrument/Controls	8-30-84		
1.3.1	Complete Instruments/Controls	6-1-85		
1.3.2.A	Initial Installation of Equipment	4-3-82		

U.S. DEPARTMENT OF ENERGY
LABOR PLAN

FORM APPROVED
OMB NO 1901 1400

DOE / 1332 4
(11 BA)

Energetic Pilot Unit		3 PARTICIPANT NAME AND ADDRESS BKVS Inc. 3000 Construction Blvd. Anyplace, VA 22299		4 LABOR PLAN DATE 10-1-82		5 START DATE 10-1-81		6 COMPLETION DATE 6-15-85		7 DE-AC01-82HQ21347										
7 Element Code	8 Reporting Element	9 Plan Prior Fiscal Year	10 Actual Prior Fiscal Year	11 CURRENT FISCAL YEAR												13 Total	12 FUTURE FISCAL YEARS		14 Subsequent Fiscal Years	14 Total
				O	N	D	J	F	M	A	M	J	J	A	S		84	85		
1.1.1	Land/Improv	565	566	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	565	
1.1.2.1	Found/Sub	392	410	127	127	126	126	126	126	-	-	-	-	-	-	-	-	-	1150	
1.1.2.2	Superstruct	-	-	142	142	143	143	143	143	148	148	148	148	148	148	148	148	148	2611	
1.1.2	Structures	392	410	269	269	269	269	269	269	148	148	148	148	148	148	148	148	148	3761	
1.1	SUBTOTAL	957	976	269	269	269	269	269	269	148	148	148	148	148	148	148	148	148	4326	
1.2	SUB-Utils.	4	4	1	2	2	2	2	3	5	9	10	14	13	72	56	3	-	135	
1.3.1	Inst/Contr	896	993	143	125	138	163	163	163	63	62	36	29	29	29	29	1143	270	14	2323
1.3.2	Fuel Equip	92	92	30	55	55	55	55	55	-	-	-	-	-	-	-	305	-	-	397
1.3.3	Waste	370	375	90	90	90	90	90	90	90	90	90	90	90	1080	576	35	-	2061	
1.3.4	Fire Prot.	-	-	-	-	-	-	-	-	3	4	30	30	30	127	315	15	-	457	
1.3	SUBTOTAL	1358	1460	263	270	283	308	308	308	156	156	156	149	149	2655	1161	64	-	5238	
1.4.1	T&E	412	436	31	31	31	31	31	31	32	32	32	32	32	378	60	50	-	900	
1.4.2	Proj. Mgmt	293	291	25	25	25	25	25	25	25	25	25	25	25	300	240	48	-	881	
1.4.3	Data	49	51	17	17	17	17	17	17	35	35	35	35	35	312	431	45	-	837	
1.4.4	Training	15	15	4	10	10	10	8	8	8	8	8	8	8	98	7	-	-	120	
1.4	SUBTOTAL	769	793	77	83	83	83	81	81	100	100	100	100	100	1088	738	143	-	2738	
15 TOTAL		3088	3233	610	624	637	662	660	661	409	413	413	407	411	410	6317	2764	268	-	12437
16 LABOR EXPRESSED IN																				
17 SIGNATURE OF PARTICIPANT'S PROJECT MANAGER AND DATE																				

thousands

P M D - 11-15-82

LABOR PLAN

LABOR PLAN

PURPOSE

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

INSTRUCTIONS

- Item 1. Enter the title as it appears in the official document establishing the contractual agreement.
- Item 2. Enter the identification number as it appears in the official contractual agreement, including any modification number.
- Item 3. Enter the name and address of the participant, organization, or agency, as they appear in the contractual agreement.*
- Item 4. Enter date of plan.
- Item 5. Enter the official start date of the original contractual agreement.*
- Item 6. Enter the official completion date as of the latest official modification to the contractual agreement.*
- Item 7. Enter the element codes relating to the line items, tasks, products, or work breakdown structure elements reported in Item 8.
- Item 8. Enter the reporting elements that are specified in the contractual agreement (work statement tasks, work breakdown structure elements, organization units, labor categories, etc.).
- Item 9. Enter cumulative planned labor for all prior fiscal years for each reporting category in Item 8. This information must be the same as that reported on the "Labor Management Report" (Item 10d) at the end of the preceding fiscal year.
- Item 10. Enter cumulative actual labor for all prior fiscal years for each reporting category in Item 8. This information must be the same as that reported on the "Labor Management Report" (Item 10c) at the end of the preceding fiscal year.
- Item 11. In the blocks heading each column, identify the reporting periods (months, quarters, etc.) specified in the contractual agreement. If months, enter in the extreme left block the first letter of the month for the first contract month, with successive months of the current fiscal year as required. If reporting periods are quarters, use 1st, 2nd, 3rd, and 4th and distribute evenly over the spaces available. Enter planned labor allocations for each period and total to the right of each reporting category listed in Item 8.
- Item 12. Enter fiscal year for each future fiscal year of the contractual agreement. Enter planned labor allocations by future fiscal years for each reporting element listed in Item 8.
- Item 13. For each reporting element listed in Item 8, enter planned labor allocations for fiscal years remaining to complete the program and not included in Items 11 or 12.
- Item 14. Enter the total planned contract labor for each reporting element listed in Item 8 (sum of Items 9, 11, 12 and 13).
- Item 15. Enter the total labor for each column in Items 9, 10, 11, 12, 13, and 14. Enter only on the final page of a multipage "Labor Plan."
- Item 16. Enter the unit of measure for labor amounts shown above. for example, labor hours, hundreds of labor hours, thousands of labor hours, labor months).
- Item 17. Signature of responsible contractor, agency, or organization project manager and date signed, verifying the validity of the information furnished based upon the participant's knowledge of the contract.

*These items need only be entered on the first page of multipage reports.

U. S. DEPARTMENT OF ENERGY
**FACILITIES CAPITAL
 OF MONEY FACTORS COMPUTATION**

FORM APPROVED
 FPMR (41 CFR) 101-11.6

DOE FD
 (11-80)

1 CONTRACTING BUSINESS UNIT		4 APPLICABLE COST OF MONEY RATE		6 ACCUMULATION AND DISTRIBUTION OF NET BOOK VALUE	7 ALLOCATION OF UNDISTRIBUTED	8 TOTAL NET BOOK VALUE	9 COST OF MONEY FOR THE ACCOUNTING PERIOD	10 ALLOCATION BASE FOR THE PERIOD	11 FACILITIES CAPITAL COST OF MONEY FACTORS
3 COST ACCOUNTING PERIOD			8A						
BKVS Inc. 3000 Construction Blvd. Anyplace, VA 22299									
Historical YE 8-31-81									
RECORDED				6,944,000					
LEASED PROPERTY				1,326,000					
CORPORATE OR GROUP				450,000					
TOTAL				8,720,000					
UNDISTRIBUTED				3,450,000					
DISTRIBUTED				5,270,000					
BUSINESS UNIT FACILITIES CAPITAL									
Engineering				2,064,000	1,400,000	3,464,000	277,120	8,687,147	.03190
Procurement				282,000	231,000	513,000	41,040	14,151,724	.00290
Construction				2,474,000	1,819,000	4,293,000	341,440	12,178,723	.02820
OVERHEAD AND POOLS									
G&A EXPENSE POOLS				450,000	-	450,000	36,000	6,000,000	.00600
TOTAL				5,270,000	3,450,000	8,720,000*	617,400		

FACILITIES CAPITAL COST OF MONEY FACTORS COMPUTATION

PURPOSE

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.

BASIS

All data pertain to the cost accounting period for which the participant prepares overhead and general and administrative expense allocations. The cost of money computations should be compatible with those allocation procedures. More specifically, facilities capital values used should be the same values that are used to generate depreciation or amortization that is allowed for Federal Government costing purposes; land which is integral to the regular operation of the business unit shall be included.

INSTRUCTIONS

- Item 1. Enter the name and address of the participant and business unit.
- Item 2. Enter the number of the contractual agreement to which the computation pertains.
- Item 3. Enter the cost accounting period covered by the report.
- Item 4. Enter the applicable cost of money rate as determined by the Secretary of the Treasury.
- Item 5. Enter in this column the accumulation and direct distribution of net book value of recorded, leased, or corporate property writeoffs. The net book value of items of facilities capital which are held or controlled by the home office shall be allocated to the business unit on a basis consistent with the home office expense allocation.

Also enter Distributed and Undistributed Values. The sum of distributed and undistributed must also correspond to the amount shown on the total line.

List in the narrative column all the overhead and general and administrative expense pools to which distributed facilities capital items have been allocated. Enter the corresponding amounts in Column 8. The sum of all the amounts shown against specific overhead and general and administrative expense pools must correspond to the amount shown on the distributed line.

- Item 6. In this column undistributed facilities are allocated to overhead and the general and administrative expense pools on any reasonable basis that approximates the actual absorption of depreciation or amortization of such facilities.
- Item 7. Enter the total net book value in this column. The figure entered is the sum of Columns 5 and 6. The total of this column should agree with the business unit's total shown in Column 5.
- Item 8. Enter the Cost of Money for the Cost Accounting Period (Column 7 x Column 4).
- Item 9. Enter the Allocation Base for the Period in this column. Show the total units of measure used to allocate overhead and general and administrative expense pools using direct labor dollars, machine hours, or total cost input. Include service centers that make charges to final cost objectives. Each base unit of measure must be compatible with the bases used for applying overhead in the Federal Government contract cost computation.
- Item 10. Enter the Facilities Capital Cost of Money (COM) Factors. (Column 8 ÷ Column 9).

DOE F-1326
11 84.

U.S. DEPARTMENT OF ENERGY
CONTRACT FACILITIES CAPITAL AND COST OF MONEY

FORM APPROVED
DME NO 1901-1400

1 CONTRACTOR BKVS Inc.		2 IDENTIFICATION NO DE-AC01-82HQ21347	
BUSINESS UNIT .		3 PERFORMANCE PERIOD	
ADDRESS 3000 Construction Blvd. Anyplace, VA 22299		10-1-81 thru 6-15-85	
4. OVERHEAD POOLS	5. COST ACCOUNTING PERIOD	6. CONTRACT OVERHEAD ALLOCATION BASE	7. FACILITIES CAPITAL COST OF MONEY
			8. AMOUNT
Engineering (\$)		1,301,000	.03190
			42,502
Procurement (\$)		1,972,000	.00290
			5,719
Construction (\$)		2,376,000	.02820
			67,303
GEA (\$)		1,103,000	.00600
			6,618
9 CONTRACT FACILITIES CAPITAL COST OF MONEY			120,842
10 FACILITIES CAPITAL COST OF MONEY RATE			.08
11 CONTRACT FACILITIES CAPITAL EMPLOYED			1,510,525

CONTRACT FACILITIES CAPITAL AND COST OF MONEY

PURPOSE

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.

INSTRUCTIONS

- Item 1.** Enter the name and address of the contractor and business unit.
- Item 2.** Enter the specific contract or request for proposal number to which the computation pertains.
- Item 3.** Enter the estimated performance period of the contract.
- Item 4.** Enter the names of all the business unit overhead pool and direct charging service/support centers whose costs will be allocated to this contract. The structure must be compatible with the contractor's cost proposal and Form(s) CASB-CMF.
- Item 5.** This column is used only for the "projected" method of estimating contract facilities capital employed and cost of money. Each Overhead Pool listed must be further broken down by each Cost Accounting Period impacted by the Performance Period of the contract. The yearly breakdown must also correspond to yearly overhead allocation bases in the contractor's cost proposal, and to separate Forms CASB-CMF for each year listed. If the "historical" method is used, the column should be ignored.
- Item 6.** For each Overhead Pool and Cost Accounting Period listed, record the same Contract Overhead Allocation Base amounts used in the pricing report to derive the prenegotiated cost objective. Such amounts should be the same as those used for burdening contract overhead or applying service/support center use charges. The base units of measure (direct labor dollars, direct labor hours, direct material dollars, etc.) must agree with those used on the Form(s) CASB-CMF.
- Item 7.** Carry the appropriate estimated Facilities Capital Cost of Money Factors from the Form(s) CASB-CMF. Business units, overhead pools, and cost accounting periods must agree.
- Item 8.** Enter the product of each Contract Overhead Allocation Base (Column 6) multiplied by its related Facilities Capital Cost of Money Factor (Column 7).
- Item 9.** Enter the sum of Column 8. This represents the contract's allocable share of the business unit's estimated cost of money for the cost accounting period(s) impacted by the contract performance period. Therefore, it represents a portion of the total(s) of Column 8 of Form CASB-CMF.
- Item 10.** Enter the same Cost of Money Rate used in Column 4 of the Form(s) CASB-CMF. Only one rate will be used in the facilities capital estimating process regardless of the length of the contract performance period.
- Item 11.** Enter the quotient of Item 9 divided by Item 10. This represents the contract's allocable share of the business unit's estimated facilities value for the cost accounting period(s) impacted by the contract. Therefore, it represents a portion of the total(s) of Column 7 of Form CASB-CMF.

US DEPARTMENT OF ENERGY
COST PLAN

DOE F13327
(11 84)

FORM APPROVED
OMB NO 1801 1400

Element Code		Reporting Element	9 Plan Prior Fiscal Years	10 Actual Prior Fiscal Years	CURRENT FISCAL YEAR													12 FUTURE FISCAL YEARS		13 Subsequent Fiscal Years	14 Total																		
					O	N	D	J	F	M	A	M	J	J	A	S	Total	84	85																				
1.1.1		Land & Imp.	1461	1501	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1461
1.1.2.1		Found/Subst	1010	1100	302	318	317	211	165	85	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	2414	
1.1.2.2		Superstruct	-	-	17	173	174	280	326	496	210	208	207	209	207	207	207	2778	1196	400	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	4374	
1.1.2		Structures	1010	1100	47	491	491	491	491	491	210	208	207	209	207	207	4176	1196	400	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	6788	
1.1		SUBTOTAL	2471	2601	47	491	491	491	491	491	210	208	207	209	207	207	4176	1196	400	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	8249	
1.2		SUB-Utils.	12	11	-	2	2	2	2	3	6	8	9	14	16	17	83	117	27	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	239		
1.3.1		Instr/Cont	2440	2689	338	286	272	273	302	330	90	72	52	37	30	30	2117	545	145	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	5247		
1.3.2		Fuel Equip	208	209	4	103	112	115	73	18	-	-	-	-	-	-	462	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	670		
1.3.3		Waste Hdlg	964	975	138	137	137	137	151	177	178	143	137	133	129	106	1653	862	240	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	3724		
1.3.4		Fire Prot.	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
1.3		SUBTOTAL	3617	3873	51	526	526	526	526	525	223	223	212	205	200	199	4407	2084	480	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	10596		
1.4.1		TRF	649	698	4	128	127	128	127	128	148	149	148	149	148	149	1576	230	213	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	2668	
1.4.2		Proj. Mgmt.	757	747	49	48	49	48	49	48	49	48	49	48	49	49	583	463	81	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1884		
1.4.3		Data	89	91	10	16	16	16	16	16	24	24	35	35	40	40	294	410	43	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	836		
1.4.4		Training	27	28	-	15	15	16	15	15	13	13	13	13	13	12	160	-	2	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	193		
1.4		SUBTOTAL	1522	1564	119	207	207	208	207	207	234	234	245	245	250	250	2613	1105	341	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	5581		
1.0		SUBT-Proj.	7624	8049	111	1220	1220	1226	1226	1226	673	673	673	673	673	673	11279	4502	1256	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	24665		
G&A			1045	1103	152	168	168	168	168	168	92	92	92	93	92	92	1545	617	172	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	3379		
COM			115	121	15	16	15	16	16	16	11	11	11	11	11	11	160	61	12	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	348		
Mgmt. Res.			-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1198		
Fee (.03)			260	275	30	42	42	42	42	41	23	23	23	23	23	23	385	153	43	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	872		
B&R BC 0304			3619	3819	62	680	680	680	680	680	419	419	419	419	419	419	6541	3134	703	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	6111		
B&R BC 0508			5429	5729	68	772	771	772	772	771	380	380	380	381	380	380	6828	2192	780	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	6211		
15 TOTAL			9048	9548	1318	1452	1451	1452	1451	799	799	799	800	799	799	13169	5133	1483	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	12340		
16 DOLLARS EXPRESSED IN Ten Thousands			17 SIGNATURE OF PARTICIPANT'S PROJECT MANAGER AND DATE <i>C.M. Dow 11/15/82</i>													18 SIGNATURE OF PARTICIPANT'S AUTHORIZED FINANCIAL REPRESENTATIVE AND DATE <i>R.E. Arner 11/15/82</i>																							

COST PLAN

COST PLAN

PURPOSE

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

INSTRUCTIONS

- Item 1. Enter the contractual agreement title as it appears in the official document establishing the contractual agreement.
- Item 2. Enter the contractual agreement identification number as it appears in the official document establishing the contractual agreement and append the latest contract modification number.
- Item 3. Enter the name and address of the contractor, organization, or agency, as they appear in the contractual agreement.*
- Item 4. Enter date of plan.
- Item 5. Enter the official start date of the original contractual agreement.*
- Item 6. Enter the official completion date, as of the latest official modification to the contractual agreement.*
- Item 7. Enter the element codes relating to the line items, tasks, products, or work breakdown structure elements reported in Item 8.
- Item 8. Enter the contractually specified reporting elements.
- Item 9. Enter cumulative planned costs for all prior fiscal years for each reporting element in Item 8. This information must be the same as that reported on the "Cost Management Report" (Item 10d - if used) at the end of the preceding fiscal year.
- Item 10. Enter cumulative actual costs for all prior fiscal years as of the end of the prior year for each reporting element in Item 8. This information must be the same as that reported on the "Cost Management Report" (Item 10c) at the end of the preceding fiscal year.
- Item 11. In the blocks heading each column, identify the reporting periods (quarters, months, etc.) specified in the contractual agreement. If months, enter in the extreme left block the first letter of the first month with successive months of the current fiscal year as required. If reporting periods are quarters, use 1st, 2nd, 3rd, and 4th. Enter planned costs for each period and total to the right of each reporting element listed in Item 8.
- Item 12. Enter fiscal year for each future fiscal year of the contractual agreement. Enter planned costs by future fiscal years for each reporting element listed in Item 8.
- Item 13. For each reporting element listed in Item 8, enter planned costs for fiscal years remaining to complete the program and not included in Item 12. Also enter the amount of funds withheld for management control purposes for the entire contract.
- Item 14. Enter the total planned cost for each element listed in Item 8 (sum of Items 9, 11, 12, and 13).
- Item 15. Enter the total costs for each column in Items 9, 10, 11, 12, 13, and 14. Enter only on the final page of multipage "Cost Plan."
- Item 16. Enter the unit of measure for dollar amounts shown above (exact, hundreds, thousands, ten thousands, etc.).
- Item 17. Signature of responsible participant project manager and date signed, verifying the validity of the information furnished based on the participant's knowledge of the contract.
- Item 18. Signature of participant's financial representative and date signed, verifying the validity of the information furnished.

*These items need only be entered on the first page of multipage reports.

U.S. DEPARTMENT OF ENERGY
MILESTONE SCHEDULE (I) PLAN & STATUS REPORT

(FORM APPROVED)
OMB NO. 1901-1400

DOE 1332.1A
(11-84)

1 TITLE Energistic Pilot Unit		2 REPORTING PERIOD 10-1-82 through 10-31-82		3 IDENTIFICATION NUMBER DE-AC01-82HQ21347																						
4 PARTICIPANT NAME AND ADDRESS BKVS Inc. 3000 Construction Blvd. Anyplace, VA 22299		5 START DATE 10-1-81		6 COMPLETION DATE 6-15-85																						
7 ELEMENT CODE	8 ELEMENT DESCRIPTION	9 DURATION												10 PERCENT COMPLETE	11 PERCENT COMPLETE											
		FY 82						FY 83			FY 84					FY 85										
		O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	Q2	Q3	Q4	Q1	Q2	Q3	Q4	85	Plan	Total
1.1.1	Land and Improvements				▼					▼															100	100
1.1.2.1	Foundation					▼	▼																		57	54
1.1.2.2	Substructure					▲	▲																		4	2
1.2	Superstructure																								6	6
1.3.1	Utilities																								50	48
1.3.2	Instruments & Controls																								17	39
1.3.3	Fuel																								30	31
1.3.4	Equipment																									
1.4.1	Waste Handling																								25	23
1.4.2	Fire Protection																								31	30
1.4.3	Test & Evaluation																								12	13
1.4.4	Project Management																								18	18
1.4.5	Cost																									
1.4.6	Training																									

11 SIGNATURE OF PARTICIPANT'S PROJECT MANAGER AND DATE
(Signature) 11-3-82

U.S. DEPARTMENT OF ENERGY
MILESTONE LOG

ELEMENT CODE	DESCRIPTION	PLANNED COMPLETION DATE	ACTUAL COMPLETION DATE	COMMENTS
1.1.1.A	Demolition/Clearing	12-20-81	12-19-81	
1.1.1.B	Excavation	5-20-82	6-23-82	
1.1.1	Complete All Land Improvements	6-15-82	9-29-82	Schedule change approved per Rev. 4
1.1.2.1.A	Hot Sump	2-19-82	1-3-82	
1.1.2.1.B	Liner and First Slab	3-15-82	6-30-82	
1.1.2.1.C	Complete Foundations	8-10-82	8-10-82	
1.1.2.1.	Complete Foundations/Substructures	3-31-83		Schedule change approved
1.1.2.2.A	Complete Superstructures	5-20-83		
1.1.2.2.B	Complete Exterior Finishing	9-30-83		
1.1.2.2	Complete Finishing	5-15-84		
1.2.1.A	Complete Trench and Drains	3-31-82	3-31-82	
1.2.1.B	Complete Filtration System	9-15-82		
1.2.A	Complete Utilities Blueprints	3-30-82	3-30-82	
1.2.B	Installation of Water Trunk Lines	9-30-82	9-30-82	
1.2.C	Complete Water	3-30-83		
1.2.D	Complete Basic Electricity	6-15-83		
1.2.E	Complete Electrical Installation	10-15-83		
1.2.F	Complete HAC Equipment	8-30-84		
1.2	Complete Utilities	6-1-85		
1.3.1.A	Initial Installation: Instruments/Controls	11-9-82		
1.3.1.B	Initial Test of Instruments/Controls	3-1-83		
1.3.1.C	Final Installation Adjustments	9-25-83		
1.3.1.D	Final Test of Instrument/Controls	8-30-84		
1.3.1	Complete Instruments/Controls	6-1-85		
1.3.2.A	Initial Installation of Equipment	4-3-82	4-25-82	

U.S. DEPARTMENT OF ENERGY
LABOR MANAGEMENT REPORT

Page of
FORM APPROVED
OMB NO 1901 1400

DOE F1332

Energistic Pilot Unit		10-1-82 through 10-31-82				6 START DATE 10-1-81						
PARTICIPANT NAME AND ADDRESS BKVS Inc. 3000 Construction Blvd., Anyplace, VA 22299		5 LABOR PLAN DATE 10-1-82				7 COMPLETION DATE 6-15-85						
ELEMENT CODE	REPORTING ELEMENT	10 LABOR EXPENDED				11 ESTIMATED LABOR EXPENDITURES				12 Total Contract Labor	13 Variance	
		Reporting Period		Cumulative to Date		e. Subse- quent Reporting Period	Balance of Fiscal Year	c.				d. Subse- quent Fiscal Year to Completion
		a. Actual	b. Plan	c. Actual	d. Plan				(1)	(2)	(3)	
1.1.1	Land & Improvements	-	-	566	565	-	-	-	-	566	565	(1)
1.1.2.1	Foundations & Substructures	126	127	536	519	127	504	-	-	1167	1150	(17)
1.1.2.2	Superstructure	139	142	139	142	142	1460	809	58	2608	2611	3
1.1.2	Structures	265	269	675	661	269	1964	809	58	3775	3761	(14)
1.1	SUBTOTAL - Site & Bldgs.	265	269	1241	1226	269	1964	809	58	4341	4326	(15)
1.2	SUBTOTAL - Utilities	1	1	5	5	2	69	56	3	175	135	0
1.3.1	Instruments & Control	149	141	1142	1039	125	875	270	14	2426	2323	(103)
1.3.2	Fuel Equipment	30	30	122	122	55	220	-	-	397	397	0
1.3.3	Waste Handling	88	90	461	460	90	900	576	35	2064	2061	(3)
1.3.4	Fire Protection	-	-	-	-	-	127	315	15	457	457	0
1.3	SUBTOTAL - Equipment	267	263	1727	1621	270	2122	1161	64	5344	5238	(106)
1.4.1	Test and Evaluation	28	31	464	443	31	316	60	50	921	900	(21)
1.4.2	Project Management	26	25	317	318	25	250	240	40	800	881	81
1.4.3	Data	19	17	70	66	17	278	431	45	841	837	(4)
1.4.4	Training	4	4	19	19	10	84	7	-	120	120	0
1.4	SUBTOTAL - Sys. Integration	77	77	870	846	83	928	738	141	2762	2738	(24)
14. TOTAL		610	610	3843	3698	624	5083	2764	268	12582	12437	(145)
15. LABOR EXPRESSED IN Thousands		16. SIGNATURE OF PARTICIPANT'S PROJECT MANAGER AND DATE <i>C. M. [Signature]</i> 11/5/82										

LABOR MANAGEMENT REPORT

LABOR MANAGEMENT REPORT

PURPOSE

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

INSTRUCTIONS

- Item 1. Enter the title as it appears in the official document establishing the contractual agreement.
- Item 2. Enter the inclusive start and complete dates for the reporting period for this report, if appropriate.*
- Item 3. Enter the contractual agreement identification number as it appears in the official establishing document and append the latest modification number.
- Item 4. Enter the name and address of the contractor, organization, or agency, as they appear in the contractual agreement.*
- Item 5. Enter the date of the current Labor Plan for this contractual agreement (see Item 4 of "Labor Plan").
- Item 6. Enter the official start of the original contractual agreement.*
- Item 7. Enter the official completion date, as of the latest official modification to the contractual agreement.*
- Item 8. Enter the element codes relating to the contract line items, tasks, products, or work breakdown structure elements reported in Item 9.
- Item 9. Enter the same contractually specified reporting elements that are on the associated "Labor Plan."
- Item 10. All labor must be reported for each reporting element listed in Item 9. Contractor-funded labor must be reported for each reporting element listed in Item 9. Contractor-funded labor will be excluded only if directed in the contractual agreement. Enter items:
- a. The total actual labor expenditures incurred for the reporting period.
 - b. The total planned labor expenditures for the reporting period, as stated in the current "Labor Plan."
 - c. The cumulative total of all labor expenditures planned from the beginning of the period of performance to the end of the reporting period.
 - d. The cumulative total of all labor expenditures planned from the beginning of the period of performance to the end of the reporting period, as stated in the current "Labor Plan."
- Item 11. Enter the participant's best estimate of the labor required to perform the remaining work. This estimate may differ from the "Labor Plan."
- a. The estimated labor expenditures for the subsequent reporting period.
 - b. The estimated labor expenditures for the balance of the fiscal year (excluding the amount in 11a).
 - c. For each reporting element listed in Item 9, enter planned labor for fiscal years remaining to complete the program.
 - d. For each reporting element listed in Item 9, enter planned labor for fiscal years remaining to complete the program and not included in Items 10c, 11a, b, and c.
 - e. The total estimated labor expenditures funded by DOE for the completion of the contract effort, including the amounts in 10c, and 11a, b, c, and d.
- Item 12. Enter the total contract labor for the reporting elements as shown in Item 14 of "Labor Plan."
- Item 13. Subtract the total estimated labor (Item 11d) from the total contract labor (Item 12) and enter the difference. Show unfavorable variances in parentheses. If the variance exceeds the specified threshold, explain fully in the "Status Report."
- Item 14. Enter the total of all labor for each column for each reporting element. For multipage forms, enter total on final form.
- Item 15. Enter the appropriate unit of measure that relates to the unit of measure in the "Labor Plan."
- Item 16. Signature of responsible contractor, agency, or organizational project manager and date signed, verifying the validity of the information furnished based upon the participant's knowledge of the contract's progress status.

*These items need only be completed on the first page of multipage reports.

DOE F13329

U.S. DEPARTMENT OF ENERGY
COST MANAGEMENT REPORT

Page of
FORM APPROVED
MAY 1981 EDITION

4. PARTICIPANT NAME AND ADDRESS		FOR FOD				ION NUMB			DE-AC01-B2HQ21347					
Energistic Pilot Unit BKVS Inc. 3000 Construction Blvd. Anyplace, VA 22299		10-1-82 through 10-31-82				6 START DATE			10-1-81					
		10-1-82				7 COMPLETION DATE			6-15-85					
8 ELEMENT CODE	9 REPORTING ELEMENT	10. ACCRUED COSTS				11. ESTIMATED ACCRUED COSTS						12. Total Contract Value	13. Variance	
		Reporting Period		Cumulative to Date		a. Subsequent Reporting Period	b. Balance of Fiscal Year	c.			d. Fiscal Years to Complete			e. Total
		a. Actual	b. Plan	c. Actual	d. Plan			(1)	(2)	(3)				
1.1.1	Land & Improvements	-	-	1501	1461	-	-	-	-	-	-	1501	1461	(40)
1.1.2.1	Foundation & Substructure	299	302	1399	1318	358	705	-	-	-	-	2462	2454	(8)
1.1.2.2	Superstructure	169	171	169	171	203	2734	1196	410	-	-	4712	4704	(8)
1.1.2	Structure/Buildings	468	473	1568	1489	561	3439	1196	410	-	-	7174	7158	(16)
1.1	SUBTOTAL - Site & Bldgs.	468	473	3069	2950	561	3439	1196	410	-	-	8675	8619	(56)
1.2	SUBTOTAL - Utilities	2	2	13	14	2	79	117	28	-	-	239	239	0
1.3.1	Instruments & Controls	358	338	3046	2778	312	1650	495	125	-	-	5628	5573	(55)
1.3.2	Fuel Equipment	39	41	248	249	103	319	-	-	-	-	670	670	0
1.3.3	Waste Handling	127	138	1102	1107	127	1248	968	260	-	-	3715	3724	9
1.3.4	Fire Protection	-	-	-	-	-	175	677	103	-	-	955	955	0
1.3	SUBTOTAL - Equipment	524	517	4396	4134	552	3392	2140	488	-	-	10968	10922	(46)
1.4.1	Test & Evaluation	50	47	748	696	128	1558	212	196	-	-	2842	2842	0
1.4.2	Program Management	47	49	794	806	56	501	478	80	-	-	1915	1884	(31)
1.4.3	Data	17	16	107	105	10	262	408	43	-	-	836	836	0
1.4.4	Training	8	7	36	34	15	136	2	4	-	-	193	193	0
1.4	SUBTOTAL - Sys. Integration	122	119	1685	1641	207	2457	1097	340	-	-	5786	5755	(31)
1.0	SUBT - Energistic Pilot Unit	1116	1111	9163	8739	1322	9367	4550	1266	-	-	25668	25535	(133)
	Man		152	152	1255	1197	181	1283	623	174	-	3516	3498	(18)
	COM		15	15	136	130	17	128	62	18	-	361	359	(2)
	Management Reserve		-	-	-	-	-	-	-	-	198	198	198	0
	Fee		38	38	313	298	44	316	155	43	6	877	877	0
B&R	EC 0304		529	627	5347	5146	782	6147	3132	703	92	16203	16002	(201)
B&R	EC 0508		793	689	5520	5218	782	4947	2258	798	112	14417	14465	48
14. TOTAL			1322	1316	10867	10364	1564	11094	5390	1501	204	30620	30467	(153)
15. DOLLARS EXPRESSED IN:		SIGNATURE OF PARTICIPANT'S PROJECT MANAGER AND DATE				SIGNATURE OF PARTICIPANT'S AUTHORIZED FINANCIAL REPRESENTATIVE AND DATE								
Ten Thousands		<i>(Signature)</i>				<i>(Signature)</i>								

COST MANAGEMENT REPORT

COST MANAGEMENT REPORT

PURPOSE

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 reporting period(s).

INSTRUCTIONS

- Item 1.** Enter the contractual agreement title as it appears in the official document establishing the contractual agreement.
- Item 2.** Enter the inclusive start and complete dates for the reporting period for this report.*
- Item 3.** Enter the contractual agreement number as it appears in the official establishing document and append the latest modification number, if applicable.
- Item 4.** Enter the name and address of the contractor, organization, or agency, as they appear in the contractual agreement.*
- Item 5.** Enter the date of the current "Cost Plan" for this contractual agreement, which serves as a baseline for this report.
- Item 6.** Enter the official start date of the original contractual agreement.*
- Item 7.** Enter the official completion date as of the latest official modification to the contractual agreement.*
- Item 8.** Enter the element codes relating to the line items, tasks, products, or work breakdown structure elements reported in Item 9.
- Item 9.** Enter the same contractually specified reporting elements that are on the associated "Cost Plan."
- Item 10.** All costs as specified in the contractual agreement shall be reported for each of the elements listed in Item 3. Enter costs accrued for each reporting element.
- a. The total actual cost incurred for the reporting period, including any adjustments for the previous month made in current reporting period.
 - b. The total planned cost for the reporting period as stated in the current "Cost Plan."
 - c. The cumulative total of all costs incurred from the beginning of the period of performance to the end of the reporting period.
 - d. The cumulative total of all costs planned from the beginning of the period of performance to the end of the reporting period, as stated in the current "Cost Plan" (includes the amount reported in Item 10b).
- Item 11.** Enter the participant's best estimate of the cost to perform the remaining work. These estimates will be used by DOE to forecast funding requirements.
- a. The estimated cost for the subsequent reporting period.
 - b. The estimated cost for the balance of the fiscal year (excluding the amount in Item 11a).
 - c. The estimated cost for the subsequent fiscal years of the contractual agreement.
 - d. The estimated cost for fiscal years not included in 10c, 11a, b, and c. Include amount of funds withheld for management control purposes.
 - e. The total estimated cost for the completion of the contractually agreed effort, including the amounts in 10c, 11a, b, c, and d.
- Item 12.** Enter the total value for each reporting element.
- Item 13.** Subtract the estimated total value (Item 11e) from the total value (Item 12) and enter the difference. Show unfavorable variances in parentheses. If the variance exceeds the specified threshold, explain in the "Status Report."
- Item 14.** Enter the total of all costs and fees for each column. If multiforms are used, enter total on final form.
- Item 15.** Enter the unit measure for dollar amounts shown (exact dollars, hundreds or thousands, etc.). Dollars will be reported on each B&R number line.
- Item 16.** Signature of responsible contractor, agency, or organization project manager and date signed, verifying the validity of the information furnished based upon the participant's knowledge of the contract's progress and status.
- Item 17.** Signature of the participant's financial representative and date signed verifying the validity of the information furnished.

*These items need only be entered on the first page of multipage reports.

US DEPARTMENT OF ENERGY
WORK BREAKDOWN STRUCTURE DICTIONARY
PART I - INDEX

DOE # 1332.10
11-841

FORM APPROVED
OMB NO. 901-1400

PROJECT TITLE/PARTICIPANT		DATE		IDENTIFICATION NUMBER								
Energistic Pilot Unit BKVS Inc.		10-1-81		DE-AC01-82H021347								
LINE NO	WBS ELEMENTS							TITLE	PARTICIPANT WBS ELEMENT CODE	BUDGET AND REPORTING NO	PHASE	OTHER
	INDENTURE LEVEL											
	1	2	3	4	5	6	-					
1	x								1.0		3C	
2		x							1.1	EC 0304		
3			x						1.1.1			
4				x					1.1.1.1			
5					x				1.1.1.2			
6						x			1.1.1.3			
7							x		1.1.1.4			
8								x	1.1.1.5			
9									1.1.1.6			
10			x						1.1.2			
11				x					1.1.2.1			
12					x				1.1.2.1.1			
13						x			1.1.2.1.2			
14							x		1.1.2.1.3			
15				x					1.1.2.2			
16					x				1.1.2.2.1			
17						x			1.1.2.2.2			
18							x		1.1.2.2.3			
19								x	1.1.2.2.4			
20								x	1.1.2.2.5			
21				x					1.2	EC 0508		

WORK BREAKDOWN STRUCTURE DICTIONARY PART I -INDEX

PURPOSE

The work breakdown structure index lists the preliminary work breakdown structure elements extended to the lowest level required. Complete only applicable blocks. Specific project requirements may be added as needed.

INSTRUCTIONS

Item 1. Enter project title and name of participant.

Item 2. Enter date of preparation.

Item 3. Enter applicable contractual agreement number.

Item 4. Enter sequential numbers to identify each entry.

Item 5. Enter the work breakdown structure element title and an "X" to reflect the level (e.g., level 1 is the contract); level 2, 3, etc., are successively lower indentures of the contract work breakdown structure). Enter an asterisk (*) before the title of each element to be reported. Enter a parenthetic (s/c) following each subcontract element title.

Item 6. Enter the code devised by the participant for internal identification of the work breakdown structure element.

Item 7. Enter the appropriate Budget and Reporting (B&R) number.

Item 8. Enter the appropriate designator from the table below to identify the project phase. (See DOE 5700.3B, MAJOR SYSTEM ACQUISITION PROCEDURES, Attachment 3, for reference):

- 1 = Basic Research, Applied Research, or Technology or Exploratory Development
- 2 = Advanced Development
- 3 = Engineering Development
- 4 = Demonstration
- 5 = Operation/Production

Since construction may take place under all of the above phases a second code, "C", may be necessary (e.g., a construction project occurring during the "engineering development" phase would be designated "3C").

Item 9. Add columns as required to cross-reference the work breakdown structure element to other pertinent documents. For example, columns may be added for System Design Description Number, Configuration Item Number, Statement of Work Number, etc., and the applicable reference entered.

US DEPARTMENT OF ENERGY
WORK BREAKDOWN STRUCTURE DICTIONARY
PART II - ELEMENT DEFINITION

DOE F1332 11
11 84.

FORM APPROVED
DMS NO. 1901 1400

1. PROJECT TITLE/PARTICIPANT Energetic Pilot Unit BKVS Inc.		2. DATE 10-1-85	3. IDENTIFICATION NUMBER DE-AC31-82HQ21347
4. WBS ELEMENT CODE 1.1.1		5. WBS ELEMENT TITLE Land and Improvements	
6. INDEX LINE NO. 3	7. REVISION NO. AND AUTHORIZATION N/A		8. DATE 10-1-85
9. APPROVED CHANGES N/A			
10. SYSTEM DESIGN DESCRIPTION Number: 1.1.1 Title: Land and Improvements		11. BUDGET AND REPORTING NUMBER EC 33 34	
12. ELEMENT TASK DESCRIPTION			
<p>a. Cost Content</p> <p>Engineering Labor Construction Labor Material Procurement Subcontracted Efforts:</p> <p style="padding-left: 100px;">Transportation Warehousing Equipment Rental</p> <p style="padding-left: 100px;">Overhead Cost of Money G&A</p> <p>b. Technical Content</p> <p>Work breakdown structure element 1.1.1 requires the basic site work to be completed, including site surveying, geological studies, excavation, grading, establishment of access, and determination of the security perimeter so that building the structures upon which the Energetic Pilot Unit depends can proceed. These subelements are fundamental to the process of construction, so that site loading, structure orientation, right-of-way, utility hookups, drainage patterns, and foundation can be determined.</p> <p>c. Work Statement</p> <p>Survey selected site and determine site-loading potential. Determine optimum structure orientation and layout foundations. Establish right-of-way for access roads and define security perimeter. Grade access and evaluate drainage and settling. Excavate main and peripheral building sites, erect pilings, pour liners and foundation slabs, excavate utility and sewage trenches, and mark hookups to local utilities.</p>			

WORK BREAKDOWN STRUCTURE DICTIONARY
PART II - ELEMENT DEFINITION

PURPOSE

Part II describes the work breakdown structure elements contained in the Index and their relationship to design and funding documents. Complete only applicable blocks. Specific project requirements may be added as needed.

INSTRUCTIONS

- | | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Item 1. Enter project title and participant name.</p> <p>Item 2. Enter date of preparation.</p> <p>Item 3. Enter the identification number.</p> <p>Item 4. Enter the work breakdown structure element code from Column 6, Part I - Index.</p> <p>Item 5. Enter the work breakdown structure element number.</p> <p>Item 6. Enter index line number.</p> <p>Item 7. Enter the identifier of the current revision and reference the authorizing document.</p> <p>Item 8. Enter date of current revision identified in Item 7.</p> <p>Item 9. Enter the identifier and short title of previously approved changes to the work breakdown structure element.</p> <p>Item 10. Enter the system design description number and title or other appropriate system specification identification pertaining to the work breakdown structure element.</p> | <p>Item 11. Enter the appropriate Budget and Reporting Number.</p> <p>Item 12. Element Task Description</p> <ul style="list-style-type: none">a. Describe the type of organizational entities and/or elements of costs charged to the work breakdown structure element (e.g., Construction Labor, Engineering Labor, Electrical Cable, Vendor Tooling, Subcontracted Effort, Computer Operation, Travel, Printing, etc.).b. Describe the technical content (e.g., heat transport system), the components included (e.g., instrumentation and controls), their relationships to each other (e.g., operating temperatures and pressures), and how they support other work breakdown structure elements (e.g., reactor core).c. Describe the functional activity or service necessary to make the product or to accomplish the work objectives of the work breakdown structure element (planning, designing, fabricating, testing, etc.). |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

1 TITLE		3 FOD		NUMB									
Energetic Pilot Unit		10-1-82 through 10-31-82		DE-AC01-82HQ21347									
4 PARTICIPANT NAME AND ADDRESS		5 COST PLAN DATE		6 START DATE									
BKVS Inc.		10-1-82		10-1-81									
3000 Construction Blvd., Anyplace, VA 22299				7 COMPLETION DATE									
				6-15-85									
8 NEGOTIATED COST	9 ESTIMATED COST OF AUTHORIZED UNPRICED WORK	10 TARGET PROFIT/FEE %	11 TARGET PRICE	12 ESTIMATED PRICE	13 SHARE RATIO	14 CONTRACT CEILING	15 ESTIMATED CEILING						
\$295,901		\$9773 / 3%	\$304,674	\$306,204	N/A	N/A	N/A						
16 WBS ELEMENT	CURRENT PERIOD					CUMULATIVE TO DATE					AT COMPLETION		
	BUDGETED COST		Actual Cost of Work Performed	VARIANCE		BUDGETED COST		Actual Cost of Work Performed	VARIANCE		Budgeted	Revised Estimate	Variance
	Work Scheduled	Work Performed		Schedule	Cost	Work Scheduled	Work Performed		Schedule	Cost			
Land & Improvements	-	-	-	-	-	14611	14611	15009	0	(398)	14611	15007	(396)
Structure/Buildings	4731	4591	4680	(140)	(89)	14894	14268	15681	(626)	(1413)	71579	71742	(163)
Utilities	19	18	19	(1)	(1)	142	137	128	(5)	9	2389	2389	0
Instruments/Contrs.	3381	3297	3575	(84)	(278)	27779	26658	30464	(1121)	(3086)	55731	56279	(548)
Fuel Equipment	410	425	385	15	40	2486	2642	2477	156	165	6701	6701	0
Waste Handling	1379	1408	1268	29	140	11069	11469	11021	400	448	37239	37150	89
Fire Protection	-	-	-	-	-	-	-	-	-	-	9551	9551	0
Test & Evaluation	469	451	504	(18)	(53)	6958	6399	7478	(559)	(1079)	28419	28419	0
Project Management	487	487	474	0	13	8059	7870	7937	(189)	(67)	18839	19149	(310)
Data	162	155	172	(7)	(17)	1053	1127	1074	74	53	8359	8359	0
Training	71	79	82	8	(3)	339	347	364	8	(17)	1930	1930	0
17 WBS SUBTOTAL	11109	10911	11159	(198)	(248)	87390	85528	91633	(1862)	(6105)	255348	256676	(1328)
18 COST OF MONEY	149	146	151	(3)	(5)	1301	1273	1364	(28)	(91)	3590	3609	(19)
19 GENERAL & ADMIN.	1519	1499	1526	(20)	(27)	11969	11714	12554	(255)	(840)	34981	35164	(183)
20 UNDISTRIBUTED BUDGET													
21 SUBTOTAL	12777	12556	12836	(221)	(280)	100660	98515	105551	(2145)	(7036)	293919	295449	(1530)
22 MANAGEMENT RESERVE											1982	1982	0
23 TOTAL	12777	12556	12836	(221)	(280)	100660	98515	105551	(2145)	(7036)	295901	297431	(1530)
RECONCILIATION TO CONTRACT BUDGET BASE													
24 VARIANCE ADJUSTMENT													
25 TOTAL CONTRACT VARIANCE													
26 DOLLARS EXPRESSED IN	Thousands		27 SIGNATURE OF PARTICIPANT'S PROJECT MANAGER					28 DATE					
			P. M. Joe					11-05-82					

COST PERFORMANCE REPORT - WORK BREAKDOWN STRUCTURE (FORMAT 1)

COST PERFORMANCE REPORT -WORK BREAKDOWN STRUCTURE (FORMAT 1)

PURPOSE

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.

INSTRUCTIONS

- Item 1. Enter the contractual agreement title as it appears in the official document establishing the contractual agreement.
- Item 2. Enter the inclusive start and complete dates for the reporting period for this report.*
- Item 3. Enter the contractual agreement number as it appears in the official establishing document and append the latest contract modification number.
- Item 4. Enter the name and address of the contractor, organization, or agency, as they appear in the contractual agreement.*
- Item 5. Enter the date of the current "Cost Plan" for this contractual agreement which serves as a baseline for this report.
- Item 6. Enter the official start date of the original contractual agreement.*
- Item 7. Enter the official completion date, as of the latest official modification to the contractual agreement.*
- Item 8. Enter the dollar value (excluding fee or profit) on which contractual agreement has been reached as of the cutoff date of the report.
- Item 9. Enter the amount (excluding fee or profit) estimated for that work for which written authorization has been received, but for which definitized contract prices have not been agreed to.
- Item 10. Enter the fee or percentage of profit which will apply if the negotiated cost of the contract is met.
- Item 11. Enter the target price (negotiated cost plus profit or fee) applicable to the definitized contract effort.
- Item 12. Enter the estimated contract price (total estimated cost to the Government) based on the latest revised estimate of cost at completion for all authorized contract work and the appropriate profit or fee, incentive, and cost sharing provisions.
- Item 13. Enter the cost sharing ratios applicable to costs over or under the negotiated contract cost.
- Item 14. Enter the contract ceiling price applicable to the definitized effort.
- Item 15. Enter the estimated ceiling price applicable to all authorized contract efforts, including both definitized and undefinitized effort.
- Item 16. Enter the noun description (and code designator where applicable) of the WBS element for which cost information is being reported, and enter budgeted, earned, actual, estimated, and variance values for each element. Include indirect costs.
- Item 17. Total the budgeted, earned, actual, estimated, and variance values for all WBS elements.
- Item 18. Enter the budgeted, earned, actual, estimated, and variance values for the imputed cost of money for facilities capital (see Cost Accounting Standard 414 for guidance).
- Item 19. Enter the appropriate General and Administrative costs.
- Item 20. Enter the contract amounts budgeted and estimated at completion but not distributed to WBS elements at or below the cost account level. (Enter only on last page of a multipage report.)
- Item 21. Enter the sum of the budgeted, earned, actual, estimated, and variance values for direct, indirect, cost of money, and G&A undistributed costs.
- Item 22. Enter the amount of the overall contract budget withheld for management control purposes at end of report period and estimated to be consumed prior to completion. (Enter only on the last page of a multipage report.)
- Item 23. Enter the sum of the subtotals in each column.
- Item 24. In exceptional cases, DOE may authorize the contractor to establish baseline budgets which in total exceed the negotiated contract cost plus the estimated cost for authorized, unpriced work. Enter the amount of such cost and schedule variance adjustments.
- Item 25. Enter the sum of the cost and schedule variances shown on the total line and on the Variance Adjustment line. Enter the sum of the negotiated contract cost plus the estimated cost for authorized, unpriced work in the budgeted at completion column. Enter the latest total revised estimate of cost at completion and the resulting variance.
- Item 26. Enter the unit of measure for reported costs.
- Item 27. Enter the signature of the participant's project manager verifying the accuracy of the reported data.
- Item 28. Enter the date the report was signed.

*These items need only be entered on the first page of multipage reports.

DOE F 1332 1A
(11 84)

U.S. DEPARTMENT OF ENERGY
COST PERFORMANCE REPORT - FUNCTIONAL CAT GOR mat 2)

FORM APPROVED
OMB No 1901-1400

ORGANIZATIONAL OR FUNCTIONAL CATEGORY	CURRENT PERIOD					CUMULATIVE TO DATE					AT COMPLETION		
	BUDGETED COST		Actual Cost of Work Performed	VARIANCE		BUDGETED COST		Actual Cost of Work Performed	VARIANCE		Budgeted	Latest Revised Estimate	Variance
	Work Scheduled	Work Performed		Schedule	Cost	Work Scheduled	Work Performed		Schedule	Cost			
Energistic Pilot Unit						10-1-82 through 10-31-82					DE-AC01-82HQ21347		
PARTICIPANT NAME AND ADDRESS BKVS Inc. 3000 Construction Blvd., Anyplace, VA 22299						COST PLAN DATE 10-1-82				ON NUMB START DATE 10-1-81 COMPLETION DATE 6-15-85			
Engineering	4916	4801	4890	(115)	(89)	24035	26225	27565	2190	(1340)	61542	61546	(4)
Tooling	12	11	13	(1)	(2)	100	87	96	(13)	(9)	4257	4257	0
Quality Control	15	15	16	0	(2)	177	177	186	0	(9)	876	876	0
Construction	1066	1050	1069	(4)	(22)	15710	15353	14980	(357)	373	51518	51818	(300)
Procurement	231	230	224	(1)	6	2105	2100	2125	(5)	(25)	13729	13729	0
Materials Org.	12	12	12	0	0	106	106	107	0	(1)	686	686	0
Subcontract	3668	3620	3703	(48)	(96)	28748	25737	29721	(3011)	(3984)	65193	65907	(714)
Test & Evaluation	469	451	504	(8)	(53)	6958	6399	7478	(559)	(1079)	28419	28419	0
Project Management	487	487	474	(7)	13	8059	7870	7937	(189)	(67)	18839	19149	(310)
Data	162	155	172	(23)	(17)	1053	1127	1074	74	53	8359	8359	0
Training	71	79	82	9	(3)	339	347	364	8	(17)	1930	1930	0
9 FUNCTIONAL SUBTOTAL	11109	10911	11159	(198)	(248)	87390	85528	91633	(1862)	(6105)	255348	256676	(1328)
10 COST OF MONEY	149	146	151	(3)	(5)	1301	1273	1364	(28)	(91)	3590	3609	(19)
11 GENERAL AND ADMINISTRATIVE	1519	1499	1526	(20)	(27)	11969	11714	12554	(255)	(840)	34981	35164	(183)
12 UNDISTRIBUTED BUDGET											--	--	
13 SUBTOTAL	12777	12556	12836	(221)	(280)	100660	98515	105551	(2145)	(7036)	293919	295449	(1530)
14 MANAGEMENT RESERVE											1982	1982	0
15 TOTAL	12777	12556	12836	(221)	(280)	100660	98515	105551	(2145)	(7036)	295901	297431	(1530)

COST PERFORMANCE REPORT - FUNCTIONAL CATEGORIES (FORMAT 2)

COST PERFORMANCE REPORT - FUNCTIONAL CATEGORIES (FORMAT 2)

PURPOSE

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

INSTRUCTIONS

- | | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Item 1. Enter the contractual agreement title as it appears in the official document establishing the contractual agreement.</p> <p>Item 2. Enter the inclusive start and complete dates for the reporting period for this report.*</p> <p>Item 3. Enter the contractual agreement number as it appears in the official establishment document and append the latest contract modification number.</p> <p>Item 4. Enter the name and address of the contractor, organization, or agency, as they appear in the contractual agreement.*</p> <p>Item 5. Enter the date of the current "Cost Plan" for this contractual agreement which serves as a baseline for this report.</p> <p>Item 6. Enter the official start date of the original contractual agreement.*</p> <p>Item 7. Enter the official completion date, as of the latest official modification to the contractual agreement.*</p> <p>Item 8. Enter the organizational units or functional categories which reflect the contractor's internal management structure in accordance with contractor/Government agreement, and enter the budgeted, earned, actual, estimated, and variance values for each organizational function. Include indirect costs.</p> | <p>Item 9. Enter the column total for all organizational or functional categories.</p> <p>Item 10. Enter budgeted, earned, actual, estimated, and variance values for the imputed cost of money for facilities capital (see Cost Accounting Standard 414 for guidance).</p> <p>Item 11. Enter the appropriate General and Administrative costs.</p> <p>Item 12. Enter the contract amounts budgeted and estimated at completion but still undistributed.</p> <p>Item 13. Enter the sum of the budgeted, earned, actual, estimated, and variance values for direct, indirect, cost of money, G&A, and undistributed costs.</p> <p>Item 14. Enter the amount of the overall contract budget withheld for management control purposes at end of report period and estimated to be consumed by completion. (Enter only on the last page of a multipage report.)</p> <p>Item 15. Enter the subtotal in the Current Period and Cumulative to Date columns. Enter the sum of the subtotal and the management reserve for the At Completion columns.</p> |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

*These items need only be completed on the first page of multipage reports.

U.S. DEPARTMENT OF ENERGY
COST PERFORMANCE REPORT - BASELINE (Format 3)

Energiatic Pilot Unit		...PON.....100		10-1-82 through 10-31-82		...ION NUMB...		DE-AC01-B2IR, 1347							
4 PARTICIPANT NAME AND ADDRESS		5 COST PLAN DATE		6 START DATE		7 COMPLETION DATE									
BKVS Inc. 3000 Construction Blvd., Anyplace, VA 22299		10-1-82		10-1-81		6-15-85									
8 ORIGINAL CONTRACT TARGET COST	9 NEGOTIATED CONTRACT CHANGES	10 CURRENT TARGET COST (8) + (9)	11 ESTIMATED COST OF AUTHORIZED UNPRICED WORK	12 CONTRACT BUDGET BASE (10) + (11)	13 TOTAL ALLOCATED BUDGET	14 DIFFERENCE (12) - (13)									
239,224	65,430	304,674	-0-	304,674	304,674	-0-									
BUDGETED COST FOR WORK SCHEDULED (NONCUMULATIVE)															
15 REPORTING ELEMENT	BCWS CUMULATIVE TO DATE	BCWS FOR REPORT PERIOD	SIX MONTH FORECAST						ENTER SPECIFIED PERIOD			UNDISTRIBUTED BUDGET	TOTAL BUDGET		
			+1	+2	+3	+4	+5	+6							
PERFORMANCE BASELINE (BEGINNING OF PERIOD)	87883	12777	14100	14090	14100	14100	14100	7760	7760	7761	23284	51804	14400	--	283919
16 (LIST BASELINE CHANGES DURING REPORT PERIOD)															
Mgmt. Reserve Applied			1100	2000	2000	2000	2000	300	300	300					10000
17 PERFORMANCE MEASUREMENT BASELINE (END OF PERIOD)	100660		15200	16090	16100	16100	16100	8060	8060	8061	23284	51804	14400		293919
18 MANAGEMENT RESERVE															1982
19 TOTAL															

COST PER PERFORMANCE REPORT - BASELINE (FORMAT 3)

PURPOSE

A periodic report of revisions to the performance measurement baseline.

INSTRUCTIONS

- Item 1. Enter the contractual agreement title as it appears in the official document establishing the contractual agreement.
- Item 2. Enter the inclusive start and complete dates for the reporting period for this report.*
- Item 3. Enter the contractual agreement number as it appears in the official establishing document and append the latest contractual agreement modification number.
- Item 4. Enter the name and address of the contractor, organization, or agency, as they appear in the contractual agreement.*
- Item 5. Enter the date of the current "Cost Plan" for this contractual agreement which serves as a baseline for this report.
- Item 6. Enter the official start date of the original contractual agreement.*
- Item 7. Enter the official completion date, as of the latest official modification to the contractual agreement.*
- Item 8. Enter the dollar value (excluding fee or profit) negotiated in the original contract. For a cost plus fixed-fee contract, enter the estimated cost negotiated. For an incentive contract, enter the definitized contract target cost.
- Item 9. Enter the cumulative cost (excluding fee or profit) applicable to definitized contract changes which have occurred since the beginning of the contract.
- Item 10. Enter the sum of Items 8 and 9. The amount shown should equal the current dollar value (excluding fee or profit) on which contractual agreement has been reached and should be the same as the amount shown as Negotiated Cost on Format 1.
- Item 11. Enter the estimated cost (excluding fee or profit) for contract changes for which written authorization has been received, but for which contract prices have not been negotiated, as shown on Format 1.
- Item 12. Enter the sum of Blocks 10 and 11.
- Item 13. Enter the sum of all budgets allocated to the performance of the contractual effort. The amount shown will include all management reserves and undistributed budgets. This amount will be the same as the Total Budget at Completion on Format 1.
- Item 14. In most cases, the amounts shown in Items 12 and 13 will be identical. If the amount shown in Block 13 exceeds that shown in Block 12, the difference should be reflected as a negative value and explained in the narrative analysis in "Status Report" at the time the negative value appears. This should be done subsequently for any change in the value.
- Item 15. Enter the time-phased performance measurement baseline which existed at the beginning of the current reporting period. Entries on this line are taken from the Performance Measurement Baseline (End of Period) line on the previous report.
- Item 16. List by number the contract changes and supplementary agreements authorized during the reporting period. Authorized changes should be listed whether priced or unpriced. List Management Reserve and/or Undistributed Budget if transactions were made to the performance measurement baseline from these accounts during the reporting period.
- Item 17. The time-phased Performance Measurement Baseline does not exist at the end of the reporting period. The difference between this line and the Performance Measurement Baseline (Beginning of Period) line should represent the effects of authorized changes and allocations of undistributed budget and management reserves during the reporting period.
- Item 18. Enter the total amount of management reserve remaining as of the end of the reporting period.
- Item 19. Enter the sum of the Performance Measurement Baseline (End of Period), Total Budget, and the remaining Management Reserve.

*These items need only be completed on the first page of multipage reports.

FORM DOE 538 Rev. 10-801		U.S. DEPARTMENT OF ENERGY	
NOTICE OF ENERGY RD&D PROJECT			
APPROVED FOR USE BY SMITHSONIAN SCIENCE INFORMATION EXCHANGE			OMB Approval No. 5010-022
1. Descriptive title of work <u>Design, Develop, and Construct Energetic Pilot Unit</u>			
2. Performing organization control number Work status <input type="checkbox"/> New <input checked="" type="checkbox"/> Continuing <input type="checkbox"/> Terminated		3. Contract or grant number <u>DE-AC01-82HQ21347</u>	
4. Contractor's principal investigator project manager and address where work is performed			
A. Name (Last, First, MI) <u>Doz, Charles M.</u>		B. Phone: FTS- _____	
C. Research organization business address: Street <u>1000 Construction Boulevard</u> Com. <u>(703)-196-3222</u>			
City <u>Anyplace</u> State <u>VA</u> Zip <u>22299</u>			
5. A. Name of performing organization <u>BKVS, Incorporated</u> <u>Construction</u>			
B. Mailing address (if different from 4C) _____			
C. Circle only one code for TYPE OF ORGANIZATION PERFORMING R&D See instructions: CU FF <input checked="" type="radio"/> NP ST TA US XX EG			
D. Location where the work is being performed _____			
E. Country sponsoring research _____			
6. Supporting organization			
A. Program division or office (Full name): <u>Assistant Secretary for Energetic Programs</u>			
B. Technical monitor (Last, First, MI) <u>Walsh, M.A.</u>		C. Phone: FTS- <u>489-2505</u>	
D. Address (if different from DOE Hqs.): _____ Com. <u>(703)-399-2505</u>			
E. Administrative monitor (Last, First, MI) <u>Smith, J.A.</u>			
7. Project schedule			
A. Start date <u>October</u> <u>1981</u>		B. Expected completion date <u>June</u> <u>1985</u>	
8. Funding in thousands of dollars. Funds represent budget obligations for operating and capital equipment.			
A. DOE Energetic Programs <u>5656</u> <u>7828</u>			
B. DOE Energy Research <u>3770</u> <u>5219</u>			
C. _____			
D. For DOE projects, enter budgeting and reporting classification code <u>EC 03 04; EC 05 08</u>			
E. Interagency agreement (Specify funding agency): _____			
F. Agency in-house effort (Check if applicable) <input type="checkbox"/>			
G. EPA "pass-thru" funding (Check if applicable) <input type="checkbox"/>			
Note: Funding Section utilization is optional on Federal Financial Assistance Programs, grants, direct payments, cooperative agreements, loan guarantees, and other related programs.			
9. Descriptive summary of work (limit to 200 words; include objective, approach, results to date and their significance, and expected product. Quantify where possible.)			
OBJECTIVE: Design and construct a pilot plant to provide power for heavy industrial and commercial use with residual available for residential use. The system is to generate electricity in the megawatt range with backup energy sources.			
APPROACH: Devise an energetic unit which converts, stores, and recirculates power through a step-up system which is connected through the grid to a fuel driven generator for no-break capability, together with controls, checkpoints, outlets, relays, and distributors. The plant is expected to be self-sufficient for heating, air conditioning, power, and lighting.			
RESULTS TO DATE: Basic plant design complete. Surveys and excavation complete including principal substructures with grid bases, drains, filters, storage facilities, etc. "Off the shelf" procurements complete, stockpiles begun, piers and slabs for ground level emplaced, templates for first story in position.			

INSTRUCTIONS
NOTICE OF ENERGY RD&D PROJECT

NOTICE

If in the past six months you have completed an inventory of Federal Energy Related Environment and Safety Research or programmatic office project description, complete only the new data element on this form and send 1 and 3 and a copy of the form completed earlier to Department of Energy, Technical Information Center, Post Office Box 52, Oak Ridge, TN 37833

1. DESCRIPTIVE TITLE OF WORK

Be as specific as possible. Since an index in the published inventory is generated from words in the titles, use words that are descriptive of the work zone. Please limit the length to a maximum of 100 characters plus spaces.

Example: "Design of a Better Mousse for Pest Control"

2. PERFORMING ORGANIZATION CONTROL NUMBER

A unique internal identification number that is used by the performing organization to facilitate project control. If the organization uses no number, this space will be left blank. PROJECT STATUS: Check status of project.

3. CONTRACT OR GRANT NUMBER

The DOE contract or grant number under which the work is being performed. For WPAS-type projects, the master contract number should be inserted. Inter-agency agreements use the IAA number.

4. CONTRACTOR'S PRINCIPAL INVESTIGATOR/PROJECT MANAGER AND MAILING ADDRESS WHERE WORK IS PERFORMED

Name of person chiefly responsible for the performance of the project or who is most familiar with this project. Persons should be permanently employed by organization (not summer appointees or graduate students). Give telephone number, including area code and extension if you have FTS number, please include it, at which the principal investigator can be reached. The address should be for the person at the specific facility doing the work.

5. A. NAME OF ORGANIZATION

In large organizations that have several levels of subdivision or subsidiaries, include the name of the smallest autonomous unit performing the research. For universities, include the name of the specific school, departments, etc., where the research is being done.

Example: "Halliburton Company, Oils Engineering" "University of Maryland, Institute of Fluid Dynamics and Applied Mathematics, U.S. Department of Defense, Air Force Cambridge Research Laboratory"

B. MAILING ADDRESS

Provide the mailing address if different from that given in item 4.

C. TYPE OF ORGANIZATION PERFORMING THE WORK

From the following list, select the description that best characterizes the research organization doing this study and circle the two letter code on the form.

- | | |
|-------------------------------------------------------|-----------------------------------------------------------------------------------------------|
| NI - Private industry | ST - Regional, state or local government facility |
| NP - Foundation or laboratory not operated for profit | EG - Electric gas utility |
| TA - Trade or professional organization | FF - Federally funded R&D centers or laboratory operated for an agency of the U.S. Government |
| US - Federal agency | XX - Other (define on questionnaire) |
| CU - College, university, or trade school | |

6. SUPPORTING ORGANIZATION

List the DOE Assistant Secretary and office sponsoring the work, the technical representative (including phone number) who directly monitors the contracted work, his address if different from DOE Headquarters, and the specific person administering the grant or contract.

7. PROJECT SCHEDULE

If current activity is a continuation of a previous project, the start date should indicate the initiation of the new work. The expected completion date should also be entered. If the project is a continuing activity with no set completion date, enter N/A for not applicable.

8. FUNDING

Provide funding in DOLLARS. If funding is received from more than one organization, list each agency separately in the space provided. Funding should indicate budget obligations (funding level per year. For example, if budget obligation is \$20,000 for 2 years, state the funding level as \$10,000 per year if applicable. Fill in parts D, E, F or G. Use of this Section is optional on Federal Financial Assistance Programs, grants, direct payments, cooperative agreements, loan guarantees, and other related programs.

9. SUMMARY OF WORK

Enter a Project Summary (limit 200 words) covering the following:

Objectives: State project objectives, quantifying where possible (e.g., "Demonstrate 35% recovery of sulfur from raw gas with molten salt recycling at a rate of one gallon per minute).

Approach: Describe the technical approach to the project, i.e., how the work is to be done.

Expected Product/Results: Describe the final products or results expected from the project and their importance and relevance.

10 List the five most descriptive publications in the last year that are available to the public which have resulted from the project. Please give a complete bibliographic citation. Use additional sheets if necessary.
NONE

11 General technology categories (Enter applicable code of codes from instructions)

D11	D2	D3	D5	E2	E3	E4	F1						
-----	----	----	----	----	----	----	----	--	--	--	--	--	--

12. Type of research activity (Check applicable activities)

A. <input type="checkbox"/> Basic research	H. <input type="checkbox"/> Mathematical model development
B. <input type="checkbox"/> Applied research	I. <input type="checkbox"/> Data analysis/assessments
C. <input type="checkbox"/> Laboratory scale R&D	J. <input type="checkbox"/> Information systems management
D. <input checked="" type="checkbox"/> Technology development	K. <input type="checkbox"/> Policy analysis
E. <input type="checkbox"/> Field study	L. <input type="checkbox"/> Socioeconomic
F. <input checked="" type="checkbox"/> Pilot plant scale R&D	M. <input type="checkbox"/> Other (Specify: _____)
G. <input type="checkbox"/> Full scale demonstration	N. <input type="checkbox"/> Not applicable

13. keywords (Please list 5 keywords)

14 Is this research project solely an ANALYTICAL PAPER STUDY?
(Non experimental, paper and pencil computer analysis etc) YES _____ NO X

15 Respondent's Name: C. M. Doo Phone No (703)-196-3232 Date October 1982
Street: 3000 Construction Boulevard
City Anyplace State: VA Zip 23299

10. PUBLICATIONS AVAILABLE TO THE PUBLIC

List publications available to the public that have resulted directly from this project. List only the publications for the last 12 months. Give author's name, journal reference or report number, and source from which report or publication may be secured, if different from author (e.g., GPO, NTIS, etc.).

11. GENERAL TECHNOLOGY CATEGORY

Enter the letter and number for the general technology category supported by your project as shown below. Multiple numbers may be entered when the project supports more than one category.

The Multi-Technology category (item F1) should be used only if your project has a pervasive application or influence on all or nearly all technology areas. Examples: R&D on instrumentation, materials research, meteorological research.

The General Science category (item F2) should be used only if your project, or some portion of it, is basic in nature and not directly related to any specific energy technology.

Insert one or more of the following category codes:

Fossil Fuels (including synthetic)

- A1 - Fossil Fuels (general)
- A2 - Coal Conversion - Liquefaction
- A3 - Coal Conversion - Gasification
- A4 - Oil and Gas
- A5 - Oil Shale
- A6 - Biomass - Pyrolysis

Geothermal

- C1 - Geothermal (general)
- C2 - Hydrothermal
- C3 - Geopressurized
- C4 - Hot Dry Rock

Conservation

- E1 - Conservation (general)
- E2 - End Use
- E3 - Improved Conversion Efficiency
- E4 - Energy Storage

Nuclear

- B1 - Nuclear (general)
- B2 - Fission - Converters
- B3 - Fission - Breeders
- B4 - Fusion - Magnetic
- B5 - Fusion - Laser

Solar

- D1 - Solar (general)
- D2 - Direct Heat/Cool
- D3 - Electric
- D4 - Ocean/Wind
- D5 - Biomass

Other

- F1 - Multi-Technology
- F2 - General or Basic Science
- F3 - Medical Application of Nuclear Technology
- F4 - Hydroelectric
- F5 - Other (identify on the form)

12. TYPE OF RESEARCH ACTIVITY

Check the types of research activity that are most applicable to this project.

13. KEYWORDS

List the five terms describing the technical aspects of the project. List specific chemicals and CAS number, if applicable.

14. ANALYTICAL/PAPER STUDY

Identify this project as being a paper or non-experimental study.

15. RESPONDENT

Name and address of person filling out the questionnaire. Give telephone number, including extension, if you have FTS number, please include it at which person can be reached. Record the date the form was completed. The information in item 15 will not be published.

CHAPTER III

SELECTING REQUIRED PLANS AND REPORTS

1. GENERAL DOE intends that the uniform reporting system satisfy DOE management requirements, yet not impose extraneous reporting requirements on participants. The project manager should select only those plans and reports essential to the effective management of a contractual agreement including satisfaction of technical information reporting requirements. Reporting requirements reflect the nature of the contractual agreement which may stipulate, when appropriate, that the participant will manage the activity without DOE collaboration, participation, or intervention. Whatever the nature of the contractual agreement, the principal purpose of reporting is to provide the minimum information required to protect DOE'S interests, to provide a reasonable assurance that the terms of the award are being complied with and will be in the future, and to ensure appropriate dissemination of technical information. This chapter discusses selection of reports, their frequency and due dates, related considerations, and special requirements.
2. REPORTING REQUIREMENTS CONSIDERATIONS.
 - a. General. The DOE project manager will determine and specify the information to be reported concerning plans for and status of work to be performed on the contractual agreement. The project manager will also determine the frequency and due dates of report submissions, the number of copies, and their distribution. All will be specified on the "Reporting Requirements Checklist," and attachments (see Chapter IV). Other information requirements may be obtained from other interested offices as appropriate for inclusion in the procurement request. Control over requirements is achieved by systematically correlating them with statement of work tasks and with programmatic, dissemination, and other end-use requirements. This procedure can provide prospective contractors with a complete picture of tasking, data, and reporting requirements, enabling them to realistically determine costs for data and reporting for inclusion in the proposal or bid. The work breakdown structure is an effective technique that may be employed to assist this procedure on any contractual agreement.
 - b. Program Legislation, Federal Regulations, and DOE Guidance. Some DOE program legislation requires specific reporting, controls, and procedures. Project managers and participants must abide by the statutory and regulatory terms pertaining to the program to ensure the collection of essential information.
 - c. Type of Contractual Agreement Cost-plus contracts generally require closer surveillance than fixed-price contracts and may require "Cost of Money" reports. Loans, which may in the event of default produce unwanted inventory, require financial information not required on contracts.

- d. Cost and Schedule Control Systems Criteria Application. Compliance with the cost and schedule control systems criteria requires that the contractor employ a "Work Breakdown Structure Dictionary," utilize performance measurement data for management control, and prepare a "Management Control Systems Description" as a baseline for systems review.
- e. Nature and Scope of Activity. The project manager should consider the the scope and characteristics of the activity when selecting baseline plans and reports. For example, a facilities lease or rental contract would not normally show milestone progress on a scheduled basis. On the other hand, construction efforts have specific, time-phased, readily measurable schedule performance goals.
- f. Value of the Effort. The value of the project often influences the amount of reporting necessary. High dollar programs, projects, or contractual agreements generally will require more reporting than low dollar programs, projects, or contractual agreements.
- g. Duration and Complexity of the Effort. Long-term efforts with many interrelated activities are likely to require more information than shorter term efforts of less complexity.
- h. Nature and Extent of the Risks Involved. High risk ventures in which, for example, high cost overruns or large schedule slippages may result, demand closer surveillance than ventures or activities with little risk.
- i. Significance of the Effort. High interest by the public, Congress, or the Administration will require closer surveillance by DOE and, therefore, the submission of more frequent and/or more detailed reports.
- j. Information Requirements of Other DOE Offices. The project manager should ensure that the data requirements of DOE finance, procurement, and program offices, and the Office of Scientific and Technical information are identified and satisfied. Any other DOE organizations that may be involved should identify and justify their data requirements for the project manager preparing the checklist.
- k. Reporting Burden. The number of required reports, their level of detail, and the frequency of their submission should be proportionate to the resources used on the contractual agreement. Project managers should consider the resources spent on report preparation and retention in relation to the resources required to accomplish the overall objective.
- l. Performance Measurement. Performance measurement reporting techniques which include work breakdown structure utilization, cost performance reporting, and control of baselines and management systems are not restricted to cost and schedule control systems criteria applications.

- m. Field Work Package Proposal and Authorization System Considerations. A "Technical Progress Report" and DOE Form 538, "Notice of Energy RD&D Project," at the field work package proposal and authorization-system task level, must be submitted by the principle investigator to the contracting officer at least once each fiscal year. A "Final Technical Report" must be submitted at the termination of all research, development, and demonstration contractual agreements and field work package proposal and authorization system tasks.
 - n. Personal Knowledge of Technical Work. The project manager may modify reporting requirements as a result of personal knowledge of the nature and scope of the technical work to be performed and an assessment of the rate at which technical information will be developed, become available, and be disseminated.
 - o. Publication Practicability. The practicability of publishing technical progress reports when submitted to the project office more frequently than quarterly must be considered.
3. REPORT AND FREQUENCY SELECTION TABLES.
- a. General. Figures III-1 through III-8 identify plans and reports recommended for inclusion in contractual agreements, the appropriate due dates, and frequency of submission. Tables are provided for contracts, and financial incentives. Separate tables are provided for performance measurement, technical, and financial reports. However, project managers are expected to apply their specific knowledge of all factors involved before specifying reporting requirements. If, during the course of the project, analysis of the items of reported data and associated variances indicate that the DOE's interest is **or may be** jeopardized, the project manager should consider increasing the frequency or depth of detail of reporting. Conversely, some conditions, such as the point in the life cycle, may indicate reduced requirements.
 - b. Contracts. Selection tables for contracts are provided in Figures III-1 and III-2 for fixed-price and cost-type contracts respectively, including those with the cost and schedule control systems criteria applied, and in Figure III-3 for interagency agreements. The columns labelled "Research Support or Technology Development" provide guidance for both basic and applied research contracts and for all other categories of contract not specifically identified in other column headings. "Facilities Capital Cost of Money Factors" and "Contract Facilities Capital and Cost of Money" reports are not shown, since their use is independent of contract value. Figure III-4 provides the selection tables for performance measurement reports when the cost and schedule control systems criteria are applied to cost-type contracts. Figure III-5 provides the selection table for technical information reports.
 - c. Financial Incentives. Selection tables for general management, must and schedule, and exception reports for financial incentives are provided in Figure III-6. Figure III-6 applies to financial incentives with and without application of the cost and schedule control systems

criteria. Figure III-4 provides the selection table for performance measurement reports, Figure III-5 for technical reports, and Figure III-7 for financial reports. A yearly report may generally be substituted for the fourth quarter report.

4. DUE DATES FOR PLANS AND REPORTS

- a. General. The project manager uses the "Reporting Requirement Checklist" to designate the frequency for submitting reports. The designated frequency may vary with each contractual agreement and may be negotiated during the award phase. Figure III-8 shows the due dates associated with each frequency code. Due dates are stated in terms of calendar days after a specified date or event.
- b. Contracts. Quarterly, half-year, and end-of-year due dates for contracts are based on the Government fiscal year calendar.
- c. Financial Incentives. Quarterly, half-year, and end-of-year due dates for financial reports should be based on the borrower's fiscal year. However, new entities formed for the purpose of participating in authorized financial incentive programs of the DOE should be encouraged to adopt the Government fiscal year (October 1 - September 30).

5. SPECIAL REQUIREMENTS.

- a. General. Although the guidance provided in previous sections is generally adequate for determining reporting requirements, special circumstances will sometimes require adaptation of the requirements identified in the tables. Some of these circumstances are identified below.
- b. Multiparticipant Projects. It will occasionally be necessary to summarize information from several contractual agreements into a single report for an overview of the project. A construction project is an example of such an occasion. In this instance, the system will feed report information to a field office of the integrating contractor to meet DOE reporting requirements. The forms in this Order accommodate this requirement, but pagination and title page requirements must be adjusted to reflect the single-document nature of this type of submission.
- c. Second Tier Participants. In some instances, DOE may require reporting on work that is subcontracted, in which case the prime contractor may require detailed reporting by the subcontractor. In such instances, the prime contractor should negotiate the use of this Order and the forms and formats with the subcontractors.
- d. Unique Reporting Requirements. A major organization within DOE that has a unique reporting requirement may develop its requirement as a supplement to this Order. (See page I-7, paragraph 13, of DOE 1321.1B, DEPARTMENTAL DIRECTIVES SYSTEM, of 4-7-83.) The requirement will be

FOR:									
Firm Fixed Price Contracts	DOE Form No.	Research Support or Technology Development			Construction or Demonstration			Supply	
		Under 200K	200K to 2M	Over 2M	Under 200K	200K to 2M	Over 2M	200K to 2M	Over 2M
GENERAL MANAGEMENT:									
Management Plan	None			X					
Status Report	None	S	Q	M	Q	Q	M	S	S
Summary Report	1332.2								
SCHEDULE/LABOR/COST:									
Plans:									
Milestone Schedule Plan	1332.3	X	XOC	XOC	X	XOC	XOC	X	XOC
Labor Plan	1332.4								
Cost Plan	1332.5			XC			XC		XC
Status:									
Milestone Schedule Report	1332.3			M		Q	M		Q
Labor Management Report	1332.8								
Cost Management Report	1332.9								
EXCEPTION REPORTS:									
Conference Record	None		A	A		A	A	A	A
Hot Line Report	None		A	A		A	A	A	A
FREQUENCY CODES:									
A - As required	M - Monthly	S - Semi-annually							
C - Agreement change	O - Once after award	X - With application/proposal							
F - Final	Q - Quarterly	Y - Yearly							

Figure III-1
Selection Table for General Management, Schedule/Labor/Cost, and Exception Reports for Firm Fixed Price Contracts

FCR:									
Cost Type Contracts	DOE Form No.	Research Support or Technology Development			Construction or Demonstration			Supply	
		Under 200K	200K to 2M	Over 2M	Under 200K	200K to 2M	Over 2M	200K to 2M	Over 2M
GENERAL MANAGEMENT:									
Management Plan	None	XO	XO	XO	XO	XO	XO	XO	XO
Status Report	None	S	M	M	Q	M	M	Q	M
Summary Report (Not Under CSCSC)	1332.2	S	M	M	Q	M	M	Q	M
SCHEDULE/LABOR/COST:									
Plans:									
Milestone Schedule Plan	1332.3	XO	XOYC	XOYC	OYC	XOYC	XOYC	XO	XO
Labor Plan	1332.4			XOYC		XOYC	XOYC		
Cost Plan	1332.7	XO	XOYC	XOYC	OYC	XOYC	XOYC	XOYC	XOYC
Status:									
Milestone Schedule Report	1332.3		M	M	M	M	M		
Labor Management Report	1332.8			M		M	M		
Cost Management Report	1332.9	M	M	M	M	M	M	Q	M
EXCEPTION REPORTS:									
Conference Record	None		A	A		A	A	A	A
Hot Line Report	None		A	A		A	A	A	A
FREQUENCY CODES:									
A - As required	M - Monthly	S - Semi-annually							
C - Agreement change	O - Once after award	X - With application/proposal							
F - Final	Q - Quarterly	Y - Yearly							

Figure III-2
Selection Table for General Management, Schedule/Labor/Cost, and Exception Reports for Cost Type contracts

FOR						
Interagency Agreements	DOE Form No.	Research Support or Advanced Development		Construction or Demonstration		
		Under 200K to 2M	Over 2M	Under 200K	200K to 2M	Over 2M
GENERALMANAGEMENT:						
Management Plan	None	XO	XO		XO	XO
Status Report	None	Q	M		Q	M
Summary Report		Q	M		Q	M
SCHEDULE/LABOR/COST:						
Plans:						
Milestone Schedule Plan	1332.3	XO	XO		XO	XO
Labor Plan	1332.4					
cost Plan	1332.7	XO	XO		XO	XO
Status:						
Milestone Schedule Report	1332.3		M		M	M
Labor Management Report	1332.8					
Cost Management Report	1332.9	1/ Q	Q	M	1/ Q	M
		1/ only if advance funded			1/ only if advance funded	
EXCEPTION REPORTS:						
Conference Record	None	A	A		A	A
Hot Line Report	None	A	A		A	A
FREQUENCY CODES:						
A - As required M - Monthly s - Semi-annually c - Agreement change O - Once after award x with application/proposal F - Final Q - Quarterly Y - Yearly						

Figure III-3
Selection Table for General Management, Schedule/Labor/Cost, and Exception Reports for Interagency Agreements

F O R :			
Contracts and Financial Incentives With CSCSC	DOE Form No.	CONTRACTS	FINANCIAL INCENTIVES
PERFORMANCE MEASUREMENT:			
Management Control Systems Description	None	XA	XA
Work Breakdown Structure Dictionary - Index	1332.10	XOC	XOC
Work Breakdown Structure Dictionary - Element Definition	1332.11	XOC	XOC
Cost Performance Report			
Format 1-Work Breakdown Structure	1332.12	M	Q
Format 2 - Functional Categories	1332.13	M	Q
Format 3 - Baseline	1332.14	M	Q
FREQUENCY CODES:			
A - As required M - Monthly S - Semi-annually C - Agreement change O- One time (after award) X - With application/proposal F - Final Q - Quarterly Y - Yearly			

Figure 111-4
Selection Table for Performance Measurement Reports
for cost-Type Contracts and Financial Incentives with CSCSC

described in an attachment to special instruction DOE 1332.1, "Reporting Requirements Checklist." Under no conditions, however, shall these requirements duplicate the information required in the reports in this Order. The Office of Project and Facilities Management and the originating organization will coordinate any unique requirement prior to publication. Unique reporting requirements must have OMB clearance under Title 5 CFR 1320, Paperwork Reduction Act of 1980.

e. Shared Participation.

- (1) For shared cost contractual agreements, DOE specifies in the contractual agreement the scope of the cost data to be reported.

F O R :		
All Contractual Agreements ^{1/}	DOE Form No.	Frequency
TECHNICAL:		
Notice of Energy RD&D Project	538	OY
Technical Progress Report	None	Y
Topical Report	None	A
Other Published Works	None	A
Final Technical Report	None	F
FREQUENCY CODES:		
A - As required	M - Monthly	s - Semi-annually
C - Agreement change	O - Once after award	x - With application/proposal
F - Final	Q - Quarterly	Y - Yearly
<p>1/ Except human resource development programs and conservation and public service programs.</p>		

Figure III-5
Selection Table for Technical Information Reports for
All Contractual Agreements

- (2) DOE requires data on the total cost of those items for which the Government contributes a share of the cost. Therefore, the participant's reports will show the total cost of each reporting category and of the total. In addition, each contributor's share of the cost of the total contract should be shown.
- (3) In sane cases, the participant's share of the costs need not be reported. For example, the contractual agreement may provide that the participant will supply certain items of real estate or equipment without cost to the Government or will bear the total cost of one or more discrete tasks. In such cases, these items need not be reported on the cost or labor reports. The participant should address these items in the "Milestone Schedule Status Report" and the "Status Report," so that the DOE project manager can monitor their progress.

FOR					
Financial Incentives	DOE Form No.	Research Support or Technology Development		Construction or Demonstration	
		Under \$1 Million	Over \$1 Million	Under \$1 Million	Over \$1 Million
GENERAL MANAGEMENT:					
Management Plan	None	XO	XOA	x	XOA
Participant Status Report	None	s	Q	s	Q
Participant Summary Report	1332.2	S	Q	s	Q
SCHEDULE/LABOR/COST:					
Plans:					
Milestone Schedule Plan	1332.3	XO	XOYC	x	XOYC
Labor Plan	1332.4				
Cost Plan	1332.7	cc	XOYC	OC	XOYC
Status:					
Milestone Schedule Report	1332.3	s	Q	s	Q
Labor Management Report	1332.8				
Cost Management Report	1332.9				
EXCEPTION REPORTS:					
Conference Record	None	A	A	A	A
Hot Line Report	None	A	A "	A	A
FREQUENCY CODES:					
A - As required	M - Monthly	S - Semi-annually			
C - Agreement change	O - Once after award	X - With application/proposal			
F - Final	Q - Quarterly	Y - Yearly			

Figure III-6
Selection Table for General Management, Schedule/Labor/Cost, and Exception Reports for Financial Incentives

FOR:		
Financial Incentives	Form No.	All Loans and Loan Guarantees
Income and Expense Statement	None	XOYQC
Balance Sheet	None	XOYQC
Cash Flow Statement	None	XOYC
Statement of Changes in Financial Position	None	XOYC
Loan Drawdown Report	None	QC
Operating Budget	None	XCQ2
Supplementary Information	None	XOYC
FREQUENCY CODES:		
A -As required	M - Monthly	s - Semi-annually
C - Agreement change	O -Once after award	X - With application/proposal
F - Final	Q - Quarterly	Y - Yearly

Figure III-7
Selection Table for Financial Reports
for Financial Incentives

- f. Substitution of Alternative Reporting. One objective of this Order is the establishment of uniform forms, formats, data elements, frequency, and due dates to be used for participant reporting. However, the project manager may substitute alternatives that are natural products of the participant's internal management systems, or that otherwise are judged to be most cost effective. A participant's proposal should include a discussion of any proposed substitutions or changes to the reporting requirements and how the proposed substitutions or changes meet this Order's reporting requirements. The project manager will prepare the Reporting Requirements Checklist and an attachment describing any substitutions and secure approval of the next higher level of management. If the alternative will encompass any change to standard data element definitions, the project manager will coordinate the proposed substitution with the Office of Project and Facilities Management prior to finalization of the contractual agreement.

9. Consulting Services Contracts. All reports containing recommendations to DOE organizations submitted during the performance of a consulting services contract shall contain the following information on the COVER of the report:

FOR:			
All Contractual Agreements			
WITHIN X CALENDAR DAYS AFTER EVENT:			
Code	Event	Contracts	Financial Incentives
A	Precipitating event	1/ 5	1/ 5
C	Change to agreement	15	15
F	End of effort	45	90
M	End of calendar month	20	20
O	Award	15	30
Q	End of quarter	20	30
S	End of half year	20	30
X	Submission of proposal application	2/ 0	2/ 0
Y	End of year or on renewal of contractual agreement	2 0	45

1/ '48 hours for hot line reports. g/ Submit with proposal.

Figure III-8
Frequency Codes and Due Dates
for All Contractual Agreements

- (1) **Name** and address of the contractor;
- (2) Contract number.

CHAPTER IV

SPECIFICATION OF PLAN AND STATUS REPORT REQUIREMENTS

1. GENERAL. , Plan and status report requirements must be specified and incorporated in each solicitation and each contractual agreement. The project manager specifies the requirements in the solicitation using the "Reporting Requirements Checklist" and related attachments which later become a part of the award documentation. The contracting officer incorporates them in each solicitation and contractual agreement by inclusion of the appropriate reporting requirements clause.
2. PREPARATION OPERATION OF "REPORTING REQUIREMENTS CHECKLIST."
 - a. Content. . The project manager completes the checklist by (1) selecting the required reports, (2) indicating the frequency of their submission, and (3) identifying special instructions attached to the checklist.
 - b. Instructions. Specific information for preparing a checklist is on the reverse side of the form. Special instructions to the participant, in addition to those noted on the Checklist and including requirement for unique reports, reporting element structures or topical requirements, should be attached.
 - c. Approvals. The checklist provides two signature blocks. The project manager preparing the checklist should sign item 7. A checklist exceeding the recommendation in the selection tables requires review and approval with signature of at least the next level of management. The reviewer ensures that only information necessary for required surveillance of the award appears as a checklist requirement.
 - d. Example. The Work Breakdown Structure and the list of reporting elements, illustrated in Chapter II, are not included.
3. PREPARATION OF REPORT DISTRIBUTION LIST AND LIST OF ADDRESSES.
 - a. General. The project manager should be aware of the information needs of other DOE organizations and should make arrangements for them to receive the necessary reports in the required quantity. Organizations designated to receive reports should be so advised. For all contractual agreements, a separate copy of the "Status Report," with attachments, should be submitted to the project manager, the contracting officer, and the responsible financial officer. A "Technical Report Distribution Guide for All Contractual Agreements" is provided in Figure IV-1. Each technical report shall be submitted to the DOE Patent Office for patent clearance, unless it is classified, bears a "limited rights" legend, or is accompanied by a DOE F 1332.15 or DOE F 1332.16, precluding either availability to the public or publication. The Office of-Scientific and Technical Information should receive all technical information reports. The project manager identifies distribution of reports to be made by the participant on the "Report Distribution List,"

which is attached to the "Reporting Requirements Checklist." The list specifies the recipients of the reports, their frequency of submission, and the number of copies. It should be accompanied by a "List of Addressees," giving the names and addresses to which reports should be submitted. Attachment IV-1 provides a contract and a financial incentives example on pages IV-6 and IV-10, respectively.

FOR:				
All Contractual Agreements	Project Manager	Contracting Officer	Patent Counsel	TIC
Number of Copies				
Technical Progress Report	4	1	1	1/
Topical Report	4	1	1	1/
Final Technical Report	4	1	1	1/
Journal Article Manuscript	4	1	1	1/
Journal Article Reprint	4	1	1	1/
Conference Paper or Proceedings	4	1	1	1/
-Translations	4	1	1	1/
Theses	4	1	1	1/
Books	4	1	1	1/
Notice of Energy RD&D Project	3	1	1	1/
1/ Per DOE 1430.1, DOE 1430.2, and other OSTI guidance.				

Figure IV-1
Technical Report Distribution Guide (Numbers of Copies)
for All Contractual Agreements

10-15-85

- b. Contracts. The DOE finance office must receive a copy of the "Cost Plan" and either the "Cost Management Report," or the "Cost Performance Report," as preagreed. The contracting officer and project manager should receive at least one copy of each report.
 - c. Financial Incentives. The designated finance officer should receive copies of the "Cost Plan" and "Cost Management Report." A separate copy of the "Status Report" will usually be submitted to the project manager, the contracting officer, and the responsible financial officer. Attachment IV-1 includes an example of a two-page "Report Distribution List." The "Report Distribution List" for other published works is shown separately due to page space limitations.
 - d. Technical Reports.
 - (1) DOE/TIC-4500 and M-3679 provide standard distribution lists for unclassified and classified technical information reports, respectively.
 - (2) Distribution made outside the standard distribution system shall be coordinated with the Office of Scientific and Technical Information. Standard distribution and other distribution coordinated with the Office of Scientific and Technical Information are referred to as official distribution.
 - (3) The contractor shall furnish the Office of Scientific and Technical Information with at least two full-size copies of suitable quality for reproduction and microfiching. If performing organizations print documents for their own use, they should print a sufficient number of copies for standard distribution.
4. INCLUSION OF REPORTING REQUIREMENTS IN THE SOLICITATION AND CONTRACTUAL AGREEMENT. The contracting officer incorporates the requirements for the selected reports into the solicitation and, subsequently, into the contractual agreement. Blank forms for the required baseline plans should be included in the solicitation for submission as part of the proposal package. Additionally, the solicitation should contain a copy of this Order to assist the proposer in determining the total administrative costs.

EXAMPLE REPORTING REQUIREMENTS CHECKLIST

Example	Page
Contract" Example	
Reporting Requirements Checklist	IV-6
Special Instructions:	
Report Distribution List/Addresses	IV-8
Due Dates	IV-10
Analysis Thresholds	IV-10
Financial Incentives Example	
Reporting Requirements Checklist	IV-11
Special Instructions:	
Report Distribution List/Addresses	IV-12

U.S. DEPARTMENT OF ENERGY
REPORTING REQUIREMENT SCHEDULE CHECKLIST

11-94

1. PROGRAM/PROJECT TITLE Energistic Pilot Unit		2. IDENTIFICATION NUMBER AC01-81TS90009	
3. PARTICIPANT NAME AND ADDRESS LMW, Inc., 1234 Science Drive, Germantown, MD 20874			
4. PLANNING AND REPORTING REQUIREMENTS			
A. General Management		Frequency	E. Financial Incentives
<input checked="" type="checkbox"/>	Management Plan	XO	<input type="checkbox"/> Statement of Income and Expense
<input checked="" type="checkbox"/>	Status Report	S	<input type="checkbox"/> Balance Sheet
<input checked="" type="checkbox"/>	Summary Report	S	<input type="checkbox"/> Cash Flow Statement
B. Schedule/Labor/Cost			<input type="checkbox"/> Statement of Changes in Financial Position
<input checked="" type="checkbox"/>	Milestone Schedule/Plan	XO	<input type="checkbox"/> Loan Drawdown Report
<input type="checkbox"/>	Labor Plan		<input type="checkbox"/> Operating Budget
<input checked="" type="checkbox"/>	Facilities Capital Cost of Money Factors Computation	XO	<input type="checkbox"/> Supplementary Information
<input checked="" type="checkbox"/>	Contract Facilities Capital and Cost of Money	XO	
<input checked="" type="checkbox"/>	Cost Plan	XO	F. Technical
<input checked="" type="checkbox"/>	Milestone Schedule/Status	XOC	<input checked="" type="checkbox"/> Notice of Energy RD&D Project (Required with any of the following)
<input type="checkbox"/>	Labor Management Report		
<input checked="" type="checkbox"/>	Cost Management Report	XOM	<input checked="" type="checkbox"/> Technical Progress Report
C. Exception Reports			<input type="checkbox"/> Draft for Review
<input type="checkbox"/>	Conference Record		<input checked="" type="checkbox"/> Final for Approval
<input type="checkbox"/>	Hot Line Report		
D. Performance Measurement			<input checked="" type="checkbox"/> Topical Report
<input type="checkbox"/>	Management Control System Description		<input checked="" type="checkbox"/> Final Technical Report
<input type="checkbox"/>	WBS Dictionary		<input type="checkbox"/> Draft for Review
<input type="checkbox"/>	Index		<input checked="" type="checkbox"/> Final for Approval
<input type="checkbox"/>	Element Definition		
<input type="checkbox"/>	Cost Performance Reports		<input checked="" type="checkbox"/> Software
<input type="checkbox"/>	Format 1 - WBS		<input checked="" type="checkbox"/> Other (Specify): _____
<input type="checkbox"/>	Format 2 - Function		
<input type="checkbox"/>	Format 3 - Baseline		
5. FREQUENCY CODES			
A - As Required	M - Monthly	S - Semi-Annually	
C - Change to Contractual Agreement	O - Once After Award	X - With Proposal/Bid/Application or with Significant Changes	
F - Final (end of effort)	Q - Quarterly	Y - Yearly or Upon Renewal of Contractual Agreement	
6. SPECIAL INSTRUCTIONS (ATTACHMENTS)			
<input checked="" type="checkbox"/>	Report Distribution List/Addresses	<input checked="" type="checkbox"/>	Analysis Thresholds
<input checked="" type="checkbox"/>	Reporting Elements	<input checked="" type="checkbox"/>	Work Breakdown Structure
<input checked="" type="checkbox"/>	Due Dates	<input checked="" type="checkbox"/>	Other
7. PREPARED BY (SIGNATURE AND DATE) <i>M. A. Walsh 1-19-84</i>		8. REVIEWED BY (SIGNATURE AND DATE) <i>C. F. Sample 1-26-84</i>	

REPORTING REQUIREMENTS CHECKLIST

PURPOSE

The checklist identifies and communicates additional reporting requirements which are not otherwise set forth in DOE contractual agreement. It will be included as part of the contractual agreements. The checklist will be completed for each contract or financial incentives agreement. If necessary, special instructions may be appended to modify the checklist to adapt it to specific situations.

INSTRUCTIONS

Item 1. Enter the title of the project as indicated in the procurement request, contract, interagency agreement, initiating memorandum, or official award, as appropriate.

Item 2. Enter the identification number of the procurement request, contract award, or financial incentives agreement, as appropriate.

Item 3. Enter the name and address of the participant.

Item 4. Check spaces to indicate plans and reports selected. For each reporting requirement selected, indicate the frequency of delivery using one of the frequency codes from Item 5. The addressees to whom reports will be sent and the total number of copies required will be referenced in an attached coded distribution list.

Note: Frequency codes represent specific reporting frequencies for each selected report. The frequencies are recommended in the solicitation and negotiated prior to award. The number of copies required and the addressees are similarly finalized prior to award.

Item 5. This item lists the possible frequency codes to be applied in the selection of reporting requirements.

Item 6. Attach special instructions as necessary. Check the appropriate box(es).

Item 7. Signature of person preparing checklist and the date prepared.

Item 8. Signature of person reviewing the checklist and date reviewed.

CONTRACT EXAMPLE
REPORT DISTRIBUTION LIST

Report/Plan	Form No.	Frequency	No. of Copies	Address
Management Plan	None	X	5	C
Milestone Schedule Plan	1332.3	X	5	C
Cost of Money Factors	1332.5	X	5	C
Contract Cost of Money	1332.6	X	5	C
Cost Plan	1332.7	X	5	C
Management Plan	None	O	1,1	A,B
Milestone Schedule Plan	1332.3	O	1,1,1	A,B,C
Cost of Money Factors	1332.5	O	1,1,1,1	A,B,C,F
Contract Cost of Money	1332.6	O	1,1,1,1	A,B,C,F
Cost Plan	1332.7	O	1,1,1,1	A,B,C,F
Status Report	None	M,S	1,1	A,B
Summary Report	1332.2	M,S	1,1	A,B
Notice of Energy RD&D	DOE 538	O, Y ^{1/}	3,1,1,1	A,B,C,E
Technical Progress Report	None			
Final Approval Report	None	Q	4,1,1,2	A,B,D,E
Topical Report	None	A	4,1,1,2	A,B,D,E
Final Technical Report	None			
Final Approval Report	None	F	4,1,1,2	A,B,D,E

^{1/} Copies for OSTI shall be in accordance with DOE 1430.2.

CONTRACT EXAMPLE
LIST OF ADDRESSEES

- | | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|
| A.. Mr. Ed Hamm, Project Control Office
Department of Energy
Division of Conservation and
Renewable Energy (CS-2)
Washington, CC 20585 | D. Department of Energy
Office of General Counsel
Patent Office (OC 42)
Washington, X 20585 |
| B. Mr. M. A. Walsh; Project Manager
Department of Energy
Office of Energy Conversion and
Utilization Technologies (CE-142)
Washington, DC 20585 | E. Department of Energy
Office of Scientific and
Technical Information
P.O. Box 62
Oak Ridge, TN 37830 |
| C. Mr. Ralph Richards, Contracting Officer
Department of Energy
Office of Procurement operations (MA-452.1)
Washington, D.C. 20585 | F. Department of Energy
office of the Controller (MA-3)
P.O. Box 500
Germantown, MD 20767 |

FINANCIAL INCENTIVES EXAMPLE

REPORT DISTRIBUTION LIST

Report/Plan	Form No.	Frequency	No. of Copies	Address
Management Plan Milestone Schedule Plan	None 1332.3	X	5 5	B B
Cost Plan	1332.7	O,C	1,1,1	A,B,C
Status Report	None	S	1	A
Summary Report	1332.2	S	1	A
Milestone Schedule Status	1332.3	S	1	A
Proformas:				
Statement of Income and Expense	None	X	5	B
Balance Sheet	None	X	5	B
Cash Flow Statement	None	X	5	B
Statement of Changes in Financial Position	None	X	5	B
Loan Drawdown Report	None	X	5	B
Operating Budget	None	X	5	B
Supplementary Information	None	X	5	B
Actuals:				
Balance Sheet	None	O,Y,Q,C	1,1,1	A,B,C
Statement of Income and Expense	None	O,Y,Q,C	1,1,1	A,B,C
Cash Flow Statement	None	O,Y,C	1,1,1	A,B,C
Statement of Changes in Financial Position	None	O,Y,C	1,1,1	A,B,C
Loan Drawdown Report	None	Q,C	1,1,1	A,B,C
Operating Budget	None	O,Q,C	1,1,1	A,B,C
Supplementary Information	None	O,Y,C	1,1,1	A,B,C
Hot Line Report	None	A	1,1	A,B
Conference Record	None	A	1,1	A,B
Notice of Energy RD&D	DOE 538	O,Y	4,1,1,1	A,B,D,E
Technical Progress Report	None	Y	4,1,1,2	A,B,D,E
Topical Report	None	A	4,1,1,2	A,B,D,E
Final Technical Report	None	F	4,1,1,2	A,B,D,E

FINANCIAL INCENTIVES EXAMPLE

LIST OF ADDRESSEES

A. R. V. Smith, Project Manager U.S. Department of Energy Office of Oil, Gas, and Shale Technology (FE-33) Washington, DC 20585	D. U.S. Department of Energy Chicago Patents Group 9800 South Cass Avenue Argonne, IL 60439
B. L. T. Terracotta, Loan Specialist U.S. Department of Energy Office of Procurement Operations (MA 452.1) Washington, DC 20585	E. U.S. Department of Energy Office of Scientific and Technical Information P.O. Box 62 Oak Ridge, TN 37830
C. A. Varon, Finance Office U.S. Department of Energy Office of Compliance (MA 33) P.O. Box 500 Carmantown, MD 20545	

CONTRACT EXAMPLE

DUE DATES

<u>WITHIN X</u>	<u>CALENDAR DAYS AFTER EVENT:</u>	
<u>Code</u>	<u>Event</u>	<u>Contracts</u>
A	Precipitating event	1 /
C	Change to agreement	15
M	End of calendar month	20
O	Award	15
S	End of half year	20
X	Submission of proposal application	2/ 0
Y	End of <i>year</i> or on renewal of contractual agreement	20
		2/

ANALYSIS THRESHOLDS

The "Status Report" will contain descriptive analyses of below listed WBS elements whenever the corresponding thresholds are breached as reported in the "Cost Management Report" of the same period.

WBS Elements At	Variance Thresholds	
	1/ Cum to Date	1/ At Completion
Level 1	5%	5%
Level 2	7%	7%
Level 3	10%	10%
1/	$\frac{\text{Plan (Col. 10d)} - \text{Actual (Col. 10c)}}{\text{Plan (Col. 10d)}}$	
2/	$\frac{\text{Variance (Col. 13)}}{\text{Total Contract Value (Col. 12)}}$	

U.S. DEPARTMENT OF ENERGY
REPORTING REQUIREMENTS CHECKLIST
FORM APPROVED
OMD NO 1900-1401

1. PROGRAM/PROJECT TITLE Shale Development Pilot Unit		2. IDENTIFICATION NUMBER DE-FM01-82HQ01254	
3. PARTICIPANT NAME AND ADDRESS Advanced Shale Co., 1697 Oilfuel Avenue, Blackstone, CO 80203			
4. PLANNING AND REPORTING REQUIREMENTS			
A General Management		Frequency	E Financial Incentives
<input checked="" type="checkbox"/> Management Plan	X		<input checked="" type="checkbox"/> Statement of Income and Expense
<input checked="" type="checkbox"/> Status Report	S		<input checked="" type="checkbox"/> Balance Sheet
<input checked="" type="checkbox"/> Summary Report	S		<input checked="" type="checkbox"/> Cash Flow Statement
			<input checked="" type="checkbox"/> Statement of Changes in Financial Position
B Scheduler/Labor/Cost			<input checked="" type="checkbox"/> Loan Drawdown Report
<input checked="" type="checkbox"/> Milestone Schedule/Plan	X		<input checked="" type="checkbox"/> Operating Budget
<input type="checkbox"/> Labor Plan			<input checked="" type="checkbox"/> Supplementary Information
<input type="checkbox"/> Facilities Capital Cost of Money Factors Computation			
<input type="checkbox"/> Contract Facilities Capital and Cost of Money			
<input checked="" type="checkbox"/> Cost Plan	O, C		F Technical
<input checked="" type="checkbox"/> Milestone Schedule/Status	S		<input checked="" type="checkbox"/> Notice of Energy RD&D Project (Required with any of the following)
<input type="checkbox"/> Labor Management Report			<input checked="" type="checkbox"/> Technical Progress Report
<input type="checkbox"/> Cost Management Report			<input checked="" type="checkbox"/> Draft for Review
C Exception Reports			<input checked="" type="checkbox"/> Final for Approval
<input checked="" type="checkbox"/> Conference Record	A		<input checked="" type="checkbox"/> Topical Report
<input checked="" type="checkbox"/> Hot Line Report	A		<input checked="" type="checkbox"/> Final Technical Report
D Performance Measurement			<input type="checkbox"/> Draft for Review
<input type="checkbox"/> Management Control System Description			<input checked="" type="checkbox"/> Final for Approval
<input type="checkbox"/> WBS Dictionary			<input checked="" type="checkbox"/> Software
<input type="checkbox"/> Index			<input checked="" type="checkbox"/> Other (Specify) _____
<input type="checkbox"/> Element Definition			
<input type="checkbox"/> Cost Performance Reports			
<input type="checkbox"/> Format 1 - WBS			
<input type="checkbox"/> Format 2 - Function			
<input type="checkbox"/> Format 3 - Baseline			
5. FREQUENCY CODES			
A - As Required	M - Monthly	S - Semi-Annually	
C - Change to Contractual Agreement	O - Once After Award	X - With Proposal/Bid/Application or with Significant Changes	
F - Final (end of effort)	Q - Quarterly	Y - Yearly or Upon Renewal of Contractual Agreement	
6. SPECIAL INSTRUCTIONS (ATTACHMENTS)			
<input checked="" type="checkbox"/> Report Distribution List/Addresses	<input type="checkbox"/> Analysis Thresholds		
<input type="checkbox"/> Reporting Elements	<input checked="" type="checkbox"/> Work Breakdown Structure		
<input type="checkbox"/> Due Dates	<input type="checkbox"/> Other		
7. PREPARED BY (SIGNATURE AND DATE)		8. REVIEWED BY (SIGNATURE AND DATE)	
<i>R. P. Smith 1-17-84</i>		<i>L. J. ... 1-2-84</i>	

U.S. Department of Energy
Washington, D.C.

PAGE CHANGE

DOE 1332.1A Chg 1
6-12-92

SUBJECT: UNIFORM REPORTING SYSTEM

1. PURPOSE. To transmit revised pages to DOE 1332. 1A, UNIFORM REPORTING SYSTEM, of 10-15-85.
2. EXPLANATION OF CHANGE. To make organizational title, routing symbol, and other editorial revisions to incorporate changes required by SEN-6. No substantive changes have been made.
3. FILING INSTRUCTIONS.

<u>a. Remove Page</u>	<u>Dated</u>	<u>Insert Page</u>	<u>Dated</u>
1 and 2	10-15-85	1 and 2	6-12-92
3 and 4	10-15-85	3	6-12-92
		4	10-15-85
5 thru 7 (and 8)	10-15-85	5 thru 7 (and 8)	6-12-92
I-1	10-15-85		6-12-92
I-2	10-15-85	I-2	10-15-85
II-7	10-15-85	II-7	6-12-92
II-8	10-15-85	II-8	10-15-85
II-23 thru II-26	10-15-85	II-23	10-15-85
		II-24	6-12-92
		II-25 and II-26	6-12-92
IV-1	10-15-85	IV-1	10-15-85
IV-2	10-15-85	IV-2	6-12-92

b. After filing the attached pages, this transmittal may be discarded.

BY ORDER OF THE SECRETARY OF ENERGY:



U.S. Department of Energy
Washington, D.C.

ORDER

DOE 1332.1A

Change 1: 10-15-85
6-12-92

SUBJECT: UNIFORM REPORTING SYSTEM

-
1. PURPOSE. To establish the Department of Energy (DOE) uniform reporting system for contracts, loans, and loan guarantees, and to provide implementing formats, forms, instructions, and procedures for information that is essential for effective management.
 2. CANCELLATION. DOE 1332.1, UNIFORM REPORTING SYSTEM FOR CONTRACTORS, of 10-31-83.
 3. SCOPE. The provisions of this Order apply to all Departmental Elements (except the Bonneville Power Administration) and participants performing work for the Department as provided by law and/or contractual agreement and as implemented by the appropriate contracting officer.
 4. APPLICABILITY. Reporting, as follows, shall be limited to only that information essential for effective management and satisfaction of technical reporting requirements. This Order provides a compendium of standard forms, outlines, and procedures from which a program or project manager selects those plans and status reports applicable to a specific contractual agreement.
 - a. Type of Contractual Agreements. This Order applies to all loans and loan guarantees, interagency agreements, and contracts and subcontracts for work for the Department.
 - b. Existing Contractual Agreements. Revision of reporting requirements of existing contractual agreements to incorporate the provisions of this Order is not required. Revision of existing contractual agreements shall be at the discretion of cognizant program and project managers in concert with the contracting officer at time of renewal.
 - c. Management and Operatina Contractors. DOE 5700.7C, WORK AUTHORIZATION SYSTEM, of 5-18-92, provides specific guidance with respect to the applicability of the uniform reporting system to management and operating contracts. DOE 5700.7C provides that the uniform reporting system plans and reports be used by operating and management contractors whenever management reports on work packages or tasks are required. The specific plans and reports to be used and their frequency are negotiated between the program manager, through the responsible DOE Field Office, and the contractor.

DISTRIBUTION:
All Departmental Elements

INITIATED BY:
Office of Procurement, Assistance
and Program Management

- d. Duration. A contractor shall continue to furnish all required forms and reports to the project manager on a timely basis through contract close-out or, for loans and loan guarantees, until full repayment of the loan.
- e. Exclusion. Reporting requirements for special research contracts are prescribed in Department of Energy Acquisition Regulations (DEAR) 917.7109 and 917.7113, appendix B, article B-XXI.

5. REFERENCES.

- a. DOE 1340. 1A, MANAGEMENT OF PUBLIC COMMUNICATIONS PUBLICATIONS, AND SCIENTIFIC, TECHNICAL, AND ENGINEERING PUBLICATIONS, of 8-25-82, which prescribes policies, standards, and procedures for effective management of DOE publications.
- b. DOE 1360.4B, SCIENTIFIC AND TECHNICAL COMPUTER SOFTWARE, of 12-31-91, which establishes policies and procedures for the effective sharing of computer software developed by DOE for scientific, technical, and technology-related applications.
- c. DOE 1430.1C, MANAGEMENT OF SCIENTIFIC AND TECHNICAL INFORMATION, of 2-29-92, which defines DOE's responsibility for managing scientific and technical information developed in the Department's research and development programs.
- d. DOE 1430.2A, SCIENTIFIC AND TECHNICAL INFORMATION MANAGEMENT PROGRAM, of 12-14-87, which provides detailed guidance on scientific and technical information management.
- e. DOE 2200.4, ACCOUNTING OVERVIEW, of 3-31-88, which establishes DOE accounting policy, principles, and standards, and to explain the administrative control of funds, financial and cost accounting, and the financial reporting system in accordance with Government regulations and generally accepted accounting principles.
- f. DOE 2250.1D, COST AND SCHEDULE CONTROL SYSTEMS CRITERIA, of 6-12-92, which delineates the requirements and procedures for implementing uniform standards for assessing contractor cost and schedule control systems.
- g. DOE 4700.1, PROJECT MANAGEMENT SYSTEM, of 3-6-87, which establishes DOE's project management system and provides implementing instructions, formats, and procedures, and sets forth the principles and requirements which govern the development, approval, and execution of DOE's outlay program acquisitions as embodied in the Project Management System (PMS).
- h. DOE 5700.5, POLICY AND MANAGEMENT PROCEDURES FOR FINANCIAL INCENTIVES PROGRAMS, of 1-12-81, which establishes general policy guidelines for all authorized financial incentive programs.

Vertical line denotes change.

- i. DOE 5700.7C, WORK AUTHORIZATION SYSTEM, of 5-18-92, which provides a formal process for budget development, authorization, and monitoring DOE-funded research and development work performed by designated contractors at designated facilities, including multiprogram national laboratories.
- j. DOE 6430.1A, GENERAL DESIGN CRITERIA, of 4-6-89, which provides general design criteria (GDC) for use in the acquisition of the Department's facilities and to establish responsibilities and authorities for the development and maintenance of these criteria.
- k. Title 44 U. S. C., "Public Printing and Documents," of 10-22-68, which establishes legal requirements related to public printing and documents, including Government Printing Office and other agency efforts, for both in-house and contract efforts.
- l. Department of Energy Acquisition Regulations, Section 917.7109, "Reporting Requirements for Special-Research Contracts With Educational Institutions," of 3-28-84.
- m. Department of Energy Acquisition Regulations, Section 917.7113, "Format for Special Research Contracts With Educational or Other Non-Profit Institutions," of 3-28-84.
- n. Title 5 CFR 1320, "Controlling Paperwork Burdens on the Public," which directs the identification and clearance of information collections levied on the public, including contractors, state and local government units, and persons who perform services for the Department on an individual basis.
- o. Title 10 CFR Part 1004.11, "DOE Freedom of Information Regulations," of 1-8-79, which establishes procedures concerning handling of documents containing information which may, by law, be exempt from disclosures, and establishes the methods used by the Department to respond to Freedom of Information requests.
- p. Title 41 CFR 101-11.11, "Interagency Reports Management Program," of 7-1-82, revised, which establishes an interagency; reports management program, describes policies, and promulgates standards, procedures, and techniques for the economical and efficient management of records of Federal agencies.

6. DEFINITIONS.

- a. Borrower is an inclusive term for all agencies, governments, other organizations, and individuals receiving financial assistance in the form of a loan from, or a loan guarantee by, DOE.
- b. Contract is a mutually binding legal relationship obligating the seller to furnish property or nonpersonal services (including construction) and the buyer to pay for them.

- c. contractor is any organizational entity or individual bound by a contract with DOE.
- d. contractual Agreement is an inclusive term for all contracts, interagency agreements, loan agreements, and loan guarantee agreements.
- e. Ingeragency Agreement is a binding agreement with a Federal Government agency to provide funds, property, or services to DOE in exchange for funds, property or services.
- f. Loan is a disbursement of funds by DOE or other lender (not in exchange for goods or services) that is contracted to be repaid with or without interest; for example, a draw down against a loan made under either a loan agreement or loan guarantee agreement.
- g. Loan Guarantee is an agreement by which DOE pledges to pay part or all of the loan principal and interest to a lender or holder of a security in the event of a default by a third party borrower. The term also includes loans DOE has sold under guarantee or repurchase agreements.
- h. Participant is a DOE contractor, borrower, or party to an interagency agreement.

7. BACKGROUND.

- a. Acquisition management through contracts, interagency agreements, or financial incentives requires an active DOE role during execution and generally requires that DOE participate in directing progress. This role requires review of participant plans and surveillance of participant progress. Participant reporting is a requisite to that surveillance.
- b. DOE 1332.1, UNIFORM REPORTING SYSTEM FOR CONTRACTORS, of 10-31-83, superseded DOE 1330.2, of 3-1-79, which established a reporting system to be used throughout the Department for new contracts issued after 2-1-79.
- c. This Order incorporates modifications based on knowledge and experience gained in using the above system, and integrates the uniform reporting system for contractors with financial incentives reporting while reducing reporting burden.

8. POLICY AND OBJECTIVES.

- a. It is the Department's policy to:
 - (1) Acquire uniform, timely, and valid information on schedule, labor, cost, and technical performance on contracts and financial incentives.
 - (2) Acquire information on a borrower's financial condition.

- b. The objectives of this Order are to:
- (1) Provide the tools for obtaining essential management information.
 - (2) Establish uniform procedures, forms, and terminology for collecting and integrating the minimum data required to manage and monitor contractual agreements.
 - (3) Ensure that only those plans and reports that are essential to monitoring and managing the contractual agreement are required from participants.
 - (4) Meet the information needs of several organizations with minimum reporting requirements.
 - (5) Enable the detection of possible delays or excess costs early enough to resolve difficulties.
 - (6) Support reporting to higher management levels.
 - (7) Support approvals which may be required for periodic disbursement of funds pursuant to provisions of contractual agreements.

9. RESPONSIBILITIES AND AUTHORITIES.

a. Program Secretarial Officers and Heads of Field Elements.

- (1) Implement the provisions of this Order in their individual areas of responsibility.
- (2) Provide for the review and evaluation of proposed and selected reporting requirements to ensure that neither excessive nor inadequate reporting requirements are being levied on participants.
- (3) Appoint an individual as a focal point to coordinate the requirements of this Order and furnish the appointee's name to the Office of Program/Project Management and Control (PR-20).

b. Program Managers, for purposes of this Order, act as project manager when there is no project manager.

c. Project Managers.

- (1) Become familiar with the intent and processes of this Order and of the references in paragraph 5, and ensure participant compliance with their intent.
- (2) Determine the reporting requirements for each contractual agreement and choose only those plans and reports essential to effective management and satisfaction of technical and financial reporting requirements.

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(3) Review, analyze, evaluate, and act on information obtained through the required plans and reports.

d. Director of Procurement, Assistance and Program Management (PR-1), shall, through the:

(1) Associate Director for Program/Project Management and Control (PR-20).

(a) Coordinates the implementation of this Order.

(b) Reviews all unique management reporting requirements in coordination with the major organization identifying such requirements.

(c) Authorizes data element definition revisions requested by the project manager.

(d) Implements the information collection and clearance requirements contained in Title 5 CFR 1320 as they apply to participants, their employees, and other members of the public from whom information is collected under the provisions of this directive.

(2) Associate Director for Procurement, Assistance and Property (PR-10).

(a) Ensures that all solicitations contain applicable uniform reporting system requirements either directly or by reference.

(b) Ensures that, where applicable, the contractual agreement includes the clause for incorporating the uniform reporting system requirements (page IV-4) and the agreement package includes the "Reporting Requirements Checklist."

e. Director of Professional and Technical Training and Development (AR-70) provides for the inclusion of uniform reporting system training in Departmentwide training programs, as appropriate.

f. Director of Information Resources Management (AD-20), through the Director of Scientific and Technical Information (AD-21), ensures this Order contains the reporting requirements necessary to meet technical information needs.

- g. General Counsel (GC-1), on request of the project manager or contracting officer's technical representative, reviews scientific and technical reports to prevent premature disclosure of inventions before reports are released to the public.

BY ORDER OF THE SECRETARY OF ENERGY:



DONALD W. PEARMAN, JR.
Acting Director
Administration and Human
Resource Management

CHAPTER I

INTRODUCTION

1. GENERAL DESCRIPTION. The uniform reporting system addresses the reporting requirements for contracts and financial incentives (loans and loan agreements) and changes thereto. Also see DOE 5700.7C, WORK AUTHORIZATION SYSTEM, which covers reporting requirements for management and reporting contractors. The plans and reports provide the data essential to project management and for reporting to higher level management. In general, there is a basic process by which reporting requirements are identified by DOE, requirements are specified in the contractual agreement, and reports are provided by the participant. Although the system is built around common process, and some procedures are common to all contractual agreement types, some remain unique to a specific type. Because of the commonalities, integration of the reporting systems into a single system provides significant advantages both to DOE and to reporting participants. This chapter describes the process, the reporting categories, and the features of the system and their relationship to the Cost and Schedule Control Systems Criteria, and "provides various administrative notifications."
 - a. System Process. Figure I-1 illustrates the major steps in the uniform reporting system. They are:
 - (1) Identify Reporting Requirements. Before issuing a procurement request for a solicitation and after considering the information needs of other offices, the project manager identifies the reports that will be required from the participant in order to monitor the proposed work and manage proposed acquisitions.
 - (2) Prepare "Reporting Requirements Checklist" (DOE F 1332.1). The applicant/proposer must include reporting costs in the application/proposal. To do so, the required plans and status reports, and the distribution to be made by the participant subsequent to award, must be identified in the solicitation. The project manager prepares the "Reporting Requirements Checklist" for this purpose (see Chapter IV of this Order). This checklist identifies which baseline plans and status reports should be submitted and their frequency of submission.
 - (3) Prepare Detailed Guidance. The project office prepares detailed guidance for participant compliance with the reporting requirements. In attachments to the "Reporting Requirements Checklist," the project manager specifies when and to whom plans and reports should be submitted, the reporting elements to be used, and other special instructions. Any special reporting requirements specified in the program legislation or regulations will also be identified in an attachment to the checklist.

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- (4) Issue Solicitation. The contracting officer issues the announcement/request for proposal(s) containing the reporting requirements.

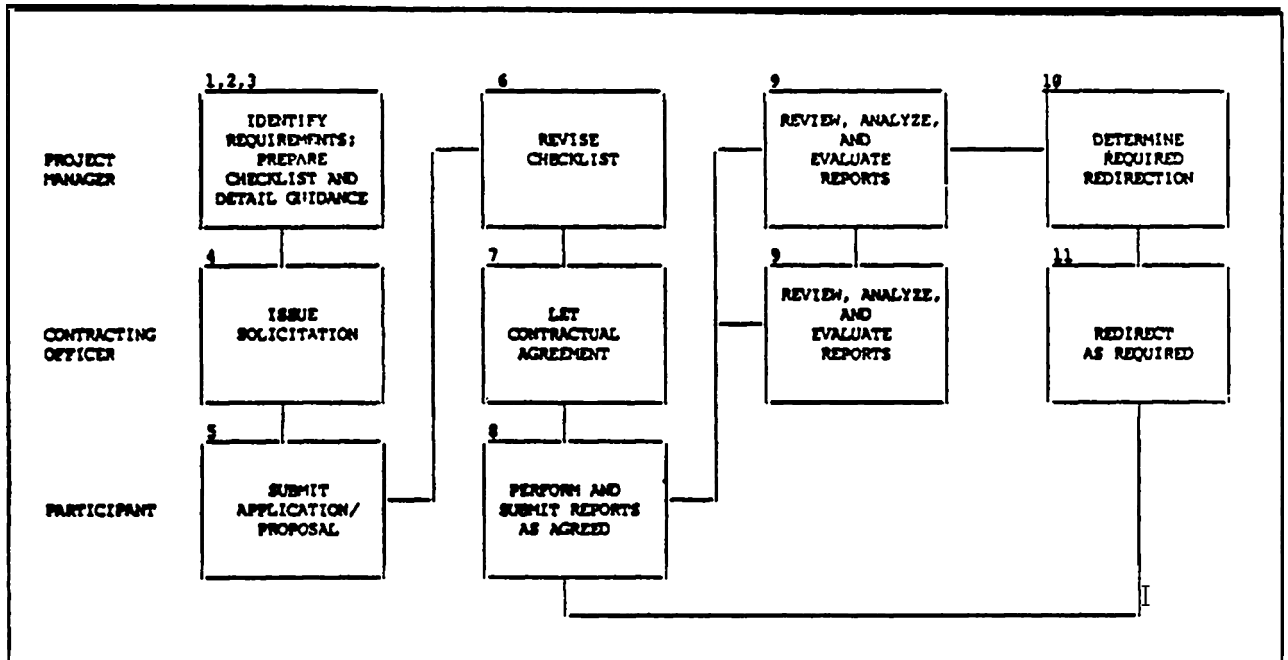


Figure I-1
Uniform Reporting System Process

- (5) Applicant/Proper Submits Proposal, Including Plans. The applicant/proposer submits the application/proposal containing the required uniform reporting system plans in accordance with the solicitation.
- (6) Revise Checklist. The project manager revises the "Reporting Requirements Checklist" to reflect the negotiated reporting requirements.
- (7) Let Contractual Agreement. The DOE contracting officer lets the contractual agreement containing the "Reporting Requirements Checklist" and attachments, and the related clause specifying the reporting requirement.
- (8) Participant Performs Work and Submits Reports. The participant periodically distributes the uniform reporting system reports in compliance with the contractual agreement.
- (9) DOE Assesses Reported Status. The project manager, the contracting officer, and the contracting officer's technical

8. Element Code	9. Reporting Element	8. Element Code	9. Reporting Element
1.0	Engineering	1.0	Engineering
1.1	Manufacturing		Title II Definitive Design
1.2	Tooling		Title III Inspection
1.3	Quality Assurance		
1.4	Management & Administration	2.0	Procurement (Non-Add)
			Purchase Orders Placed
			Orders Received
		3.0	Construction
			Site Preparation
			Facilities
			Equipment
			Overhead
			G&A
			Cost of Money
			Management Reserve
			Fee
		B&R	EC 03 04
		B&R	EC 05 08
14. Total		14. Total	

Figure II-7
Reporting by Organization/
Labor Element

Figure II-8
Reporting by Construction
Element

reporting data element). (See DOE 6430.1A and DOE/MA-0087.)
Figure II-8 shows an example structure for a construction element report.

- c. Depth of Detail-. The more distant the time period covered by planning data, the more difficult it is to plan details realistically, and the less will be the present value of any resulting management decision relating to that data. In addition because of the amount of certainty in an activity it is possible to plan near term work in greater detail than far term effort. DOE has, therefore, adopted an approach to planning that presents greater detail in the current time frame and less in later time frames (the "rolling wave" effect). The project manager should also carefully consider the level of detail required

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in status reporting. Some reports may require greater detail than others. In general, the savings which DOE management expects to produce from one additional item of information required must exceed the expected cost of obtaining, analyzing, and retaining that item of information. There is, for example, a significant cost involved in investigating and reporting a large number of variances at a low level.

- d. **Standardization.** Each plan and report must have the same element codes and reporting elements. For each reporting element, the participant shall provide an element code and descriptive name. There should be only one element per report line. Elements of work reported as subtotals shall be listed under the related subelements. The total or subtotal for the element shall be specified as shown in Figure II-3. The project manager should coordinate with the participant and the cognizant finance office to ensure that all parties are using the same time frames and data definitions for cost and financial data.
- e. **Reporting by Budget and Reporting Number.** In each plan and report, the costs should also be reported by budget and reporting (B&R) number. If multiple budget and reporting numbers are associated with a contractual agreement, the project manager will ensure that the correct procedure is employed for allocating planned and actual accrued costs among them.

2. **GENERAL MANAGEMENT PLANS AND STATUS REPORTS.**

- a. **General.** One plan and two reports are directed to overall management planning and summary reporting. The overall "Management Plan" provides both the participant and the project manager with a baseline against which status can be measured. One of the reports provides narrative discussion of schedule, labor, cost, and technical status relative to the plan, with emphasis on those events and actions which have resulted, or may in the future result, in variances from the plan. All contractual agreements may require one or more of the general management plans and reports briefly described in the following sections.
- b. **The ^{II} 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 II-9 shows an example "Management Plan" outline which should be modified and applied as appropriate to specific applications. The plan should include:

d. Specific Requirements.

- (1) Income Statements. The Project manager should ensure that income statements reported to DOE specifically include full disclosure of the following:
 - (a) Extraordinary items net of income taxes, including early debt retirement;
 - (b) Allocated income tax expense;
 - (c) Pension costs;
 - (d) Depreciation expense and methods for compensation;
 - (e) Method for determining cost of goods sold;
 - (f) Effect on net income of changes in accounting principles or
 - (g) Effect on operations of any pooling or purchase of interests; and
 - (h) Details of rental and lease agreements.
- (2) Balance Sheets. The project manager should similarly ensure that balance sheets reported to DOE specifically disclose the following:
 - (a) Methods of valuation of assets and liabilities, including methods of depreciation for major classifications of assets;
 - (b) Details of investments, including market value of any securities when significantly above cost;
 - (c) Changes in depreciating assets, and related accumulated depreciation;
 - (d) Liquidation preferences of preferred stock and description of long-term liabilities;
 - (e) Changes in details of stockholder's equity items;
 - (f) Any pooling of interests;
 - (g) Stock option plans;
 - (h) Rental and lease commitments; and
 - (i) Unfunded liabilities.

- (3) Forecasts. When forecasts are reported, the project manager should ensure that the borrower observes the following general guidelines:
- (a) Standard Format. Forecasts must be presented in the same format as comparable financial reports.
 - (b) Single Most Probable" Result. A forecast must report what borrower management believes to be the single most probable result of future planned activities. Because all forecasts are uncertain, a range of results should also be forecast.
 - (c) Assumptions and Their Effects. Assumptions underlying the forecast must be reasonable, appropriate, explicitly stated, and supported in proportion to the potential impact on the forecast if the assumption proves erroneous.
 - (d) Preparation of Forecast. forecasts must be carefully prepared by qualified personnel, using the best available tools and data, and following counted procedures. The forecasts must be reviewed and approved by management responsible for execution of the activities being forecast. The process through which the forecasts were developed must be adequately documented, as should the forecasts these;
 - (e) Forecast Error Tracking. Forecast results must be regularly compared to actual results as a basis for improvement and as an indicator of future forecast accuracy.

7. TECHNICAL REPORTS.

- a. General. Technical reports provide the DOE project manager and the research community with the scientific and technical information resulting from the work performed by contractors, agencies, laboratories, and other organizations. Scientific and technical information developed during work supported by DOE also shall be reported promptly and fully, in accordance with the policy established in DOE 1430.1C, to the Office of Scientific and Technical Information, P.O. Box 62, Oak Ridge, TN 37831. This ensures that the findings are included in DOE's information data base and, as security, patent, and other DOE policy considerations permit, that they are made available to the scientific, technical, and industrial communities and to the public through approved channels. Because the scientific and technical information program is a basic and integral part of DOE's research and development program, research and development projects cannot be closed until the scientific and technical information (unlimited, limited, controlled, and classified) is recorded, documented, and provided to the Office of Scientific and Technical Information for processing, control, and dissemination (when appropriate). DOE patent counsel reviews such publications prior to release for publication to prevent premature disclosure of inventions and other proprietary information.

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Not all DOE programs produce the full range of technical reports. For example, small loans or loan guarantees that involve research, development, or demonstration projects may only require a final technical report; small training programs may not require any technical report.

b. Description of Reports. Technical reports include the following:

- (1) Progress Reports which summarize the work performed during a specific reporting period and include the technical and scientific results (both positive and negative) of that period.
- (2) Topical Reports which are comprehensive statements of the technical results of work performed on a specific task or phase of all contractual agreements for research and development efforts. They also can be detailed descriptions of scientific or technological advances.
- (3) Final Reports are required for all contractual agreements for research and development work. These reports are technical accounts of the total work performed under the contractual agreement. They are comprehensive descriptions of the results achieved and of the investigations undertaken, and they include tabulations of data, figures, photographs, and bibliographic citations in support of the investigations undertaken. Where applicable, they summarize all topical and technical progress reports.
- (4) Other Technical Reports/Publications such as journal articles, conference papers, books, theses, and translations.
- (5) Software Submittals as required in DOE 1430.2A and DOE 1360.4B.
- (6) Notice of Energy RD&D Project (Form DOE 538) which provides the Office of Scientific and Technical Information with a descriptive summary of the RD&D project for inclusion in its Research-In-Progress data base. A completed example is shown on page II-58.

c. General Content. The DOE project manager will ensure that the participant has been informed that:

- (1) Each report of a scientific, technical, and engineering information nature should begin with a statement of the original objectives of the effort and a concise summary of the progress achieved during the reporting period. The body of the report should contain a full account of progress, problems encountered, plans for the next reporting period, and an assessment of the prospects for future progress. The author(s) of the report should clearly identify technical factors which affect, either positively or negatively, plans for achieving the objectives on schedule and within the funds available.

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- (2) The report should include sufficient detail to allow the work to be reproduced by others. Each report should include a thorough account of activities directed toward application of the results, such as investigation of user needs, work or collaboration with potential users, and activities to disseminate the results. It should also include a discussion of how these activities have affected the course of the project, and may include utilization activities. They should not include proposals for further support. Such reports should be submitted separately to protect their privacy.
- (3) Computer programs and routines with scientific, technical, and technology-related applications developed by participants should be discussed in the report and provided to the National Energy Software Center under the policies and procedures of DOE 1360.4B, SCIENTIFIC AND TECHNICAL COMPUTER SOFTWARE.

- d. Specific Contents. Detailed requirements concerning report content and preparation are specified in DOE 1430.1C and DOE 1430.2A, and related Office of Scientific and Technical Information documents.

CHAPTER IV

SPECIFICATION OF PLAN AND STATUS REPORT REQUIREMENTS

1. GENERAL. Plan and status report requirements must be specified and incorporated in each solicitation and each contractual agreement. The project manager specifies the requirements in the solicitation using the "Reporting Requirements Checklist" and related attachments which later become a part of the award documentation. The contracting officer incorporates them in each solicitation and contractual agreement by inclusion of the appropriate reporting requirements clause.
2. PREPARATION OF THE "REPORTING REQUIREMENTS CHECKLIST."
 - a. Content. The project manager completes the checklist by (1) selecting the required reports, (2) indicating the frequency of their submission, and (3) identifying special instructions attached to the checklist.
 - b. Instructions. Specific information for preparing a checklist is on the reverse side of the form. Special instructions to the participant, in addition to those noted on the Checklist and including requirements for unique reports, reporting element structures or topical requirements, should be attached.
 - c. Approvals. The checklist provides two signature blocks. The project manager preparing the checklist should sign item 7. A checklist exceeding the recommendation in the selection tables requires review and approval with signature of at least the next level of management. The reviewer ensures that only information necessary for required surveillance of the award appears as a checklist requirement.
 - d. Example. The Work Breakdown Structure and the list of reporting elements, illustrated in Chapter II, are not included. " "
3. PREPARATION OF REPORT DISTRIBUTION LIST AND LIST OF ADDRESSES.
 - a. General. The project manager should be aware of the information needs of other DOE organizations and should make arrangements for them to receive the necessary reports in the required quantity. Organizations designated to receive reports should be so advised. For all contractual agreements, a separate copy of the "Status Report," with attachments, should be submitted to the project manager, the contracting officer, and the responsible financial officer. A "Technical Report Distribution Guide for All Contractual Agreements" is provided in Figure IV-1. Each technical report shall be submitted to the DOE Patent Office for patent clearance, unless it is classified, bears a "limited rights" legend, or is accompanied by a DOE F 1332.15 or DOE F 1332.16, precluding either availability to the public or publication. The Office of Scientific and Technical Information should receive all technical information reports. The project manager identifies distribution of reports to be made by the participant on the "Report Distribution List,"

which is attached to the "Reporting Requirements Checklist." The list specifies the recipients of the reports, their frequency of submission, and the number of copies. It should be accompanied by a "List of Addressees," giving the names and addresses to which reports should be submitted. Attachment IV-1 provides a contract and a financial incentives example on pages IV-6 and IV-10, respectively.

FOR:				
All Contractual Agreements	Project Manager	Contracting Officer	Patent Counsel	TIC ^{1/}
Number of Copies				
Technical Progress Report	4	1	1	1/
Topical Report	4	1	1	1/
Final Technical Report	4	1	1	1/
Journal Article Manuscript	4	1	1	1/
Journal Article Reprint	4	1	1	1/
Conference Paper or Proceedings	4	1	1	1/
Translations	4	1	1	1/
Theses	4	1	1	1/
Books	4	1	1	1/
Notice of Energy RD&D Project	3	1	1	1/

^{1/} Per DOE 1430.1C, DOE 1430.2A, and other OSTI guidance.

Figure IV-1
Technical Report Distribution Guide (Numbers of Copies)
for All Contractual Agreements

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