

SECTION J – ATTACHMENT B

REPORTING REQUIREMENTS CHECKLIST

The table below summarizes the specific products the Contractor shall submit to the DOE, the date/timeframe that the Contractor shall submit the product, and the approval required for the specific deliverable. Durations stated in the table are in calendar days unless otherwise noted.

Approval: The Contractor shall provide the deliverable to DOE for review and approval. Contractor is responsible for obtaining DOE approval. The initial deliverable shall be of sufficient quality, depth, thoroughness, and format to support DOE approval. The DOE will review the deliverable and provide comments in writing. DOE comments will be discussed with the Contractor and the Contractor shall provide written responses. The Contractor shall re-write the documents to incorporate all DOE mandatory comments. Once DOE approves a deliverable or document, the Contractor shall place it under change control and shall make no changes to that document without further DOE approval.

The list of Deliverables does not include all required deliverables identified in other applicable sections of the Contract, DOE directives, federal regulations, or regulatory documents. The Contractor shall be responsible for the compliance with all applicable standards, orders and regulations under the Contract.

Report	Reference	Frequency	Due Date	Approval Required	Approving Official
1. Monthly Summary Reports a.) CVSA Report Including Violations* b.) Downtime/ Replacement Report c.) Equipment breakdown, replacements or operating difficulties	a.C.3.1.7 b.C.3.4.1.8 c. C.3.4.1.5	M, A	Within 5 business days of 1 st of each Month	N	
2. Incident Report	C.3.1.13.2.1	D	As required	N	
3. Driving Hour Report **	C.3.2.1	M, R	Within 5 business days of the 1 st of each Month	N	
4. Transportation Management Plan	C.3.5.2.3/C.4.1	O, A	30 days after award, then annually within 10 business days following start of new ordering period	Y	CO
5. Transition Plan	C.4.3.1	O	Three days after award	Y	CO
6. Exit Transition Plan	C.4.3.2	R	Within 60 days prior to contract end date	Y	CO
7. Driver Vehicle Inspection Record (DVIR)	C.3.4.1.2.	R	Only when discrepancies are identified	N	
8. Security Plan	C.4.4	O, A	Within 30 days after award then update annually within 10 business days following start of new ordering period	Y	CO
9. QA Plan	C.4.5	O, A	Within 30 days after	Y	CO

Report	Reference	Frequency	Due Date	Approval Required	Approving Official
			award then update annually within 10 business days following start of new ordering period		
10. ISMS Description	C.4.6	O, A	Within 30 days after award then update annually within 10 business days following start of new ordering period	Y	CO
11. Job Hazards Analysis (JHA) (general and site specific)	C.4.6.1	O, R	General JHA due on award; Site specific JHAs due prior to first shipment, and as required JHA updates are required any time conditions change or if the contractor has not performed work at the assigned location for more than one year	Y	CO
12. Request for Driver Approval	C.3.5.1.2	O, R	Within 30 Days after award, then as required	Y	CO
13. Safe Driving Bonuses and Safe Driving Incentive Plan	H.5(a)	A	Within 15 days following each ordering period	Y	CO
14. Reports describing reimbursable costs, in accordance with each task order	H.8(c)	R	As required by each task order	N	
15. Notice of bankruptcy	H.10 FAR 52.242-13	R	Within 5 days of initiation of bankruptcy proceedings	N	
16. Changes to contact information of Responsible Corporate Official and Board of Directors	H.11	R	As required	N	
17. Access to, and information supporting DOE reviews of, PAAA noncompliance system	H.13	R	As required	N, but system failing DOE standards may constitute breach of contract	
18. Coordination with DOE regarding any contractor-initiated work stoppages or facility shutdowns	H.14(b) and (c)	R	Promptly following contractor-initiated work stoppages	Y	CO
19. Request to begin alternative dispute resolution (ADR)	H.15(c)	R	N/A	Y	CO
20. Organizational Conflict of Interest (OCI) Management Plan	H.17	O, R	Within 10 calendar days after effective date	Y	CO

Report	Reference	Frequency	Due Date	Approval Required	Approving Official
			of the contract, then updated as required		
21. Proposed releases of information to public, media, or Congress	H.20 DEAR 952.204-75	R	At least 10 calendar days prior to planned release date	Y	DOE/CBFO Office of Public Affairs
22. Proof of insurance coverage	H.21	R	Upon request of the Contracting Officer	N	
23. Request for approval to award a “major or critical” subcontract, use a “major or critical” subcontractor, or to replace either	H.25	R	Prior to award of the subcontract	Y	CO
24. Request for approval to remove, replace, or divert Key Personnel	H.23(b) DEAR 952.215-70	R	Reasonably in advance of removing, replacing, or diverting any Key Personnel	Y	CO
25. Reports itemizing the confidential or proprietary information it receives under this contract	H.26	R	Upon Request of the Contracting Officer	Y	CO
26. Justification (including proposed substitutions) for changes to key personnel	H.29	R	As required	Y	CO
27. Code of Business Ethics and Conduct	FAR 52.203-13(b)(1)	O	Within 30 days after award	N	
28. Disclosure of credible evidence that employee or subcontractor has violated certain federal laws	FAR 52.203-13(b)(3) and (c)(2)(ii)(F)	R	Timely after discovery of evidence	N	
29. Report on Executive Compensation and First-Tier Subcontract Awards	FAR 52.204-10(d)	A, R	Annually with System for Award Management registration and by the end of the month following the month a first-tier subcontract of \$30,000 or more is awarded	N	
30. Service Contract Report for Indefinite-Delivery Contracts	FAR 52.204-15	A	By October 31 st of each year	N	
31. Notice of intent to subcontract with party that is debarred, suspended, or proposed for debarment	FAR 52.209-6(d)	R	Before entering into the subcontract	N	
32. Updates of Publicly Available Information Regarding Responsibility Matters	FAR 52.209-9	S	As required	N	
33. Notice that contractor has become (or has become subsidiary of) inverted domestic corporation	FAR 52.209-10	R	Within 5 business days from the date of the inversion event	N	
34. Reports and access to data supporting cost or price audit	FAR 52.215-2	R	When requested by the CO or Comptroller General of the United States up until 3 years after final payment.	N	

Report	Reference	Frequency	Due Date	Approval Required	Approving Official
35. Notice of Ownership Changes	FAR 52.215-19	R	Within 30 days after contractor becomes aware that ownership change has occurred, or is certain to occur	N	
36. Report on subcontractor limitation compliance requirements, including information on how percentages are computed. The report shall be fully supported, including but not limited to, a narrative explanation and backup supporting documentation, to allow the CO and COR to fully understand the computation and the basis of the computation.	FAR 52.219-14	A	Within 30 days of contract award, then annually	N	
37. Post-Award Small Business Program Representation	FAR 52.219-28	R	See deadlines at FAR 52.219-28(b)	N	
38. Information required by Executive Order 11246 and by the rules, regulations, and orders of the Secretary of Labor	FAR 52.222-26(c)(7)	R	As required by the Executive Order or Secretary of Labor	N	
39. Employment Reports on Veterans	FAR 52.222-37	A	By September 30 th of each year	N	
40. Access to Service Contract Labor Standards records	FAR 52.222-41(i)	R	When requested by Department of Labor	N	
41. Notice of claimed price increase	FAR 52.222-43(f)	R	Within 30 days after receiving new wage determination	N	
42. Trafficking in persons notification	FAR 52.222-50(d)	R	Immediately	N	
43. Access to payroll records	FAR 52.222-55	R	When requested by CO or Department of Labor, up until 3 years after completion of the work	N	
44. Report on Procurement of Biobased Products	FAR 52.223-2	A	October 31 st of each year and at end of contract performance	N	
45. Drug-Free Workplace notification	FAR 52.223-6(b)(5)	R	Within 10 days of receiving notice of conviction	N	
46. Notice or claim of infringement or information pertaining to claim or suit against government	FAR 52.227-2	R	Promptly upon contractor's knowledge or government request	N	
47. Notice of Insurance for Work on a Government Installation	FAR 52.228-5	O	Before commencing work	N	
48. Notice of Cargo Insurance	FAR 52.228-9	O	Before commencing operations, and in accordance with FAR 52.228-9(c) thereafter	N	

Report	Reference	Frequency	Due Date	Approval Required	Approving Official
49. Notice of Federal excise tax or duty matters	FAR 52.229-3(g)	R	Promptly upon contractor's knowledge	N	
50. State of New Mexico Tax Notice	FAR 52.229-10(a)	O	Within 30 days after award	N	
51. Limitation of Funds notice	FAR 52.232-22	R	At least 60 days before expected plus incurred costs exceed 75% of allotted total, and at least 60 days before end of task order or contract	N	
52. Up-to-date Electronic Funds Transfer information	FAR 52.232-33	R	Promptly upon any changes	N	
53. Claims	FAR 52.233-1	R	Within 6 years after accrual of the claim	Y	CO
54. Continuity of Services and transition information (Plan to provide phase-in, phase-out services to successor Contractor)	FAR 52.237-3	R	See timeline in FAR 52.237-3	Y	CO
55. Notice of new subcontract or modification	FAR 52.244-2(e)	R	Reasonably in advance of covered subcontract	N	
56. Government property plans, systems, and records	FAR 52.245-1(f)	R	See timeline in FAR 52.245-1(f)	Y	CO or Property Administrator
57. Final physical completion or termination inventory	FAR 52. 52.245-1 (f)(1)(iv)	R	At least 45 days prior to contract completion or upon termination	Y	CO or Property Administrator
58. Reports of loss, damage, destruction or theft of property	FAR 52.245-1 (f)(1)(vi)	R	As required	N	
59. Inventory disposal request	FAR 52.245-1(j)	R	Prior to disposal of government-furnished property	Y	CO or Property Administrator
60. Report of Shipment	FAR 52.247-68	R	At least 24 hours before arrival	N	
61. Request for excess printing	DEAR 952.208-70	R	Prior to acquiring covered printing	Y	CO
62. Request for direction beyond Contracting Officer's Representative's (COR) authority	DEAR 952.242-70	R	Within 5 working days after receipt of COR direction	Y	CO
63. Approval of Safety Management System	DEAR 970.5223-1(e)	O, A	As set by CO	Y	CO
64. Workplace Substance Abuse Program	DEAR 970.5223-3 10 CFR Part 707	O	Within 30 days after award	N	
65. Computerized Accident/Incident Reporting System (CAIRS) data submission	DOE O 231.1B 10 CFR Part 707	M	In response to monthly email from COR requesting data	N	
66. Basis of Estimate (BOE) Statements		O	Once; within 5 days following contract award.	N	

Basis of Estimate (BOE) Statements shall be at the PWS level as identified in Section C. The BOE documents shall support the Contractor's proposed prices by specifically identifying assumptions and the resource quantities (labor hours, material quantities, etc.) and labor rates for

Report	Reference	Frequency	Due Date	Approval Required	Approving Official
all direct cost elements (direct labor, materials, equipment, ODC's, etc.)					

- * CVSA Report shall be sorted by tractors, drivers and trailers per 100,000 miles.
- ** Driving Hour Report to show driving hours, duty hours and total hours by driver.

Frequency Key:

- O = On Award (Beginning of the Period of Performance referenced in the initial Task Order award)
- A = Annually (12 months after award of the initial Task Order or individual Task Order Periods)
- S = Semi-annually
- D = Within 24 hours after incident
- M = Monthly
- R = As Required

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