

**SECTION J
ATTACHMENT B
REPORTING REQUIREMENTS**

Reporting Requirement	Description	Frequency and/or Due Date	Provided to:
Quality Assurance Plan	Describes the organizational structure, functional responsibilities, levels of authority, and interfaces for those managing, performing, and assessing the work.	Within 30 days of award. Changes made over the previous year must be submitted annually to DOE for review and approval.	CO and COR
Affirmative Action Plan	A document designed to eliminate discrimination against groups, such as minorities, women, individuals with disabilities, and certain veterans. Executive Order 11246, and 41 CFR 60-2	Within 30 days of award, and before March 31 st every year thereafter (during the contract period)	Office of Federal Contractor Compliance Programs (OFCCP), ORO Human Resources and the ORO Diversity Manager
Headcount Report	Provide Contractor staffing numbers for a six month period	Semiannually, January 15 th and July 15 th	ORO Human Resources
Payroll and Residence Report	Provides Contractor's cumulative salary dollars and the associated counties in which they live	Annually, January 15 th	ORO Human Resources
Unauthorized Disclosure of UCNI Report	Reports incidents involving the unauthorized disclosure of UCNI. according to DOE Guidance (In accordance with DOE O 471.1A, Identification And Protection Of Unclassified Controlled Nuclear Information)	Upon discovery	Site Contractor Security Officer
Critical Sensitive Information List and	Describes the local operations security threat	Annually, October 1	Operations Security Working Group and

Essential Elements of Friendly Information	according to priority.		Senior Headquarters Program Management
Conduct Operations Security Assessment	Includes observations, recommendations and actions taken regarding sensitive information.	As required, maximum of every three (3) years	DOE/ORO Safeguards and Security
Operations Security Plan	Goals, milestones, and actions to counter imagery collection from air and space-borne platforms in accordance with DOE O 471.2A Information Security Program.	Annual , as required	DOE/ORO Safeguards and Security, CTM
Diversity Plan	Addresses the contractor's approach for ensuring a Diversity Plan is maintained in accordance with contract clause ORO H75 Diversity Program	60 days after contract award effective	DOE/ORO Diversity Manager, CO, and ORO Human Resources
Diversity Report	Provides a list of accomplishments achieved both internally and externally and projected developments during the current reporting period, including any proposed changes to the Diversity Plan as required by contract clause ORO H75 Diversity Program.	Annually	DOE/ORO Diversity Manager, CO, and ORO Human Resources
OCI Disclosure	As prescribed by DEAR 952.209-72, pertains to changes (that occur during contract Performance) to the facts disclosed prior to contract award.	Per Occurrence	CO
Insurance Certificate	The insurance certificate includes coverage for worker's compensation,	Upon Contract Award	CO

	<p>employer's liability, comprehensive general liability (bodily injury), comprehensive automobile liability (bodily injury), comprehensive automobile liability (property damage), in accordance with contract clause ORO H63 Insurance (FEB 2000).</p>		
Annual Property Report	<p>Applies to plant equipment having an acquisition cost of \$5000 or more.</p>	October 15	DOE/ORO Property Administrator
Health and Safety Plan (HASP)	<p>Addresses the Contractor's approach for ensuring the health and safety of all their employees. The Plan is routinely updated to address additional health and safety issues.</p>	60 days after contract award and update annually if necessary	COR/CTMs
Drug-free Workplace	<p>In accordance with 52.223-6 Drug-free Workplace, the Contractor shall notify the Contracting Officer after receiving notice of an employee's conviction under a criminal drug statute for a violation occurring in the workplace.</p>	10 Days from the Date Contractor Violation	CO & DOE/ORO Human Resource Specialist
Notice of Change in FOCI	<p>As prescribed by 952.204-2 Security, the Contractor shall provide the cognizant DOE security office written notice of any change in FOCI that affects the Contractor's prior FOCI submission.</p>	Immediately	CO & Cognizant Security Office

Workplace Substance Abuse Programs at DOE Sites	In accordance with 970.5223-4, Workplace Substance Abuse Programs at DOE Sites, the Contractor shall notify the Contracting Officer of any subcontract award the contractor believes may be subject to the requirements of 10 CFR Part 707.	30 days prior to subcontract award	CO & DOE/ORO Human Resource Specialist
Invention Disclosure Report	Provides written disclosure on each subject invention as prescribed by 952.227-13, Patent rights—acquisition by the Government.	Within 6 months after the Contractor becomes aware of the invention and before the sale, public use, or publication of such invention.	DOE/ORO Office of Intellectual Property
Interim Invention	Report of all subject inventions during that period or a statement that there are not such inventions.	Annually	DOE/ORO Office of Intellectual Property
Final Invention Disclosure Report	A list of all subject inventions or a statement that there were no such inventions, including a listing of all subcontracts containing a patent rights clause or a statement that there were no such subcontracts.	Three (3) months after contract expiration	DOE/ORO Office of Intellectual Property & CO
Task Plan	Prepared for ad hoc task orders written under the contract. The Task Plan describes the Contractor's approach to performing the work and producing the products identified in task orders. It must be sufficiently comprehensive to	As required	COR and CTMs

	describe the planned execution, management and results of the work.		
Report of Hours Worked	This standard form documents the total number of hours Contractor personnel worked, categorized by on-site and off-site, for the previous month. Reported hours should not include paid, non-work time such as holidays, vacation, or sick leave.	Monthly, before the 5 th day of each month	COR/CTM
DOE Form 5484.3 Individual Accident/Incident Report	Documents any occupational injury or illness that is recordable under 29 Code of Federal Regulations (CFR) 190412(c).	Within two (2) working days of learning of an occupational injury or illness, except for BWXT Y-12 which requires immediate notification	COR/CTM
Software Quality Assurance (SQA) Program	The contractor must develop, document, and implement an SQA program for projects under its contract. Each SQA program will consist of an identified focal point of contact, defined authorities, policies, procedures, training, adopted standards, and conventions tailored to local needs. Each program will treat SQA initiatives appropriately, commensurate with their size, complexity, cost, degree of external impact, degree of customization, functions performed, and other	Upon contract award and updated annually.	COR and CTM

	factors important to the site's management. (Reference DOE N 203.1 Quality Software Assurance)		
Software Quality Assurance Plan	The contractor must develop project SQA plans and address testing (e.g., unit, integration, system, acceptance), verification and validation, structured walkthroughs, peer reviews, inspections, audits and any other requirements specified for an application (e.g., by contract). The contractor must ensure that each plan is commensurate with the level of the size, complexity and scope of the software project. As appropriate, a standard SQA plan may be adopted and/or adapted for subsequent projects within a program. (Reference DOE N 203.1 Quality Software Assurance)	As necessary	COR and CTM
Cyber Security Program Plans (CSPPs)	Defines cyber security performance assessment approaches as identified to support the DOE Program Cyber Security Plan (PCSP) and DOE O 205.1, Department Of Energy Cyber Security Management Program	Upon contract award and updated as needed, but not less than every 2 years. CSPPs that function as Security Plans must be completed annually.	CTM
Corrective Action Plans	These plans identify, document, correct, and report significant cyber	As necessary	CTM

	security deficiencies in DOE cyber assets under the Contractor's span of control. (In accordance with DOE O 205.1, Department Of Energy Cyber Security Management Program)		
Cyber Security Incident Reports	To comply with DOE O 205.1 Department Of Energy Cyber Security Management Program, DOE N 205.4 Handling Cyber Security Alerts And Advisories And Reporting Cyber Security Incidents, and DOE O 471.2A Information Security Program, the Contractor (in accordance with the procedures outlined in the DOE element PCSP) must make timely reports of security incidents. Use DOE F 5639.3, "Report of Security Incident/Infraction," or a similar form to document infractions.	Upon discovery	CTM and Site Contractor Cyber Security Manager
UCNI Guidelines	In accordance with DOE O 471.1A Identification and Protection of Unclassified Controlled Nuclear Information, the Contractor develops and issues UCNI internal guidelines.	As Necessary	CTM
Initial Incident Reporting	In accordance with DOE N 471.3 Reporting Incidents Of Security Concern, the Contractor will report incidents of security concern reports using DOE Form 471.1,	(1) Within 1 hour following categorization for the most serious security incidents determined to be IMI-1	DOE EOC/CTM

	<i>Security Incident Notification Report</i>	(2) Within 8 hours following categorization of security incidents determined to be IMI-2/3.	
Final Inquiry Reports and Special Updates	In accordance with DOE N 471.3 Reporting Incidents Of Security Concern, the Contractor will provide a final inquiry report. If the inquiry cannot be completed within 30 working days, a status report that describes actions taken and an estimated date of completion will be submitted.	Within 30 working days of categorization of the incident	COR/CTM
Monthly Incident Compilations	In accordance with DOE N 471.3 Reporting Incidents Of Security Concern, each site/facility will maintain a compilation of IMI-4 incidents.	Monthly	COR/CTM/Office of Safeguards and Security
Corrective Actions for an Incident of Security Concern	In accordance with DOE N 471.3 Reporting Incidents Of Security Concern, corrective actions identified in response to an incident of security concern must be documented.	As Required	For incidents at IMI-1, -2, or -3 levels, a copy forwarded to the COR/CTM/Office of Safeguards and Security.
Statistics Requested by the Office of Nuclear and National Security Information	In accordance with DOE M 475.1-1A Identifying Classified Information, each contractor Classification Officer shall compile statistics requested by the Office of Nuclear and National Security Information for use in assessing DOE success at meeting	As Requested	COR/CTM

	performance measurements and for inclusion in reports required by the Information Security Oversight Office and 10 CFR Part 1045.		
DOE F 5639.3, "Report of Security Incident/Infraction"	Documents any infractions.	As Necessary	COR/CTM
Recommendation Report	This report documents Contractor recommendations for changes to promote efficiencies and cost reductions.	Annual, updated July 1 st of each year	COR/CTM
Server Capacity Assessment and Management Plan	This report will assist the Customer in planning for capacity acquisitions, retirements, and availability. The report should include the following metrics, at a minimum: System Name, Operating System and version, application, layered software, disk total in place and space utilized; System performance trend, i.e. availability, loads, capacity, utilization; Potential problem areas. Additional metrics are at the discretion of the Contractor.	Monthly	CTM
Operations Management Plan	This Plan is prepared for performance of the operation of all contract activities. This plan shall describe and include all aspects of management, organization, projects/initiatives, operations, facilities, systems, and equipment	Initial Plan is due 30 days after transition. Update annually on July 1 st .	COR/CTM

	used in the performance of the PWS for the remaining life of the support service contract.		
Service Level and Help Desk reports	These reports provide general metrics such as number of calls, resolution rates, etc.	Monthly	CTM
Secure Telephone Activity Report	The STU-III/STE Database is an Excel spreadsheet with the following headings: serial number, employee name, badge number, phone number, building, room, issue date, division name, division number, department, plant, and charge number. Quarterly Secure Telephone Activity reports will be issued 5 working days after the end of the calendar month.	Quarterly	CTM
DOE/ORO/EM Site Specific Reporting Requirements			
Configuration Controlled Architectural Diagrams/Inventories	This report captures changes made in the previous month for managed servers and hosts.	Monthly	CTM
Inventory Report	Inventory 10% of BJC owned desktop computers and servers to demonstrate an effective and through software compliance self-assessment program.	Annual	CTM
Exception Request List	A list of requested exceptions to the DOE/EM/BJC "one phone per employee" rule. Additional phone lines for fax machines, conference rooms,	Monthly	CTM

	access doors; lobbies, etc. must have an approved Exception prior to installation. This list tracks the request through the approval process and ends with a record entry. This list must be reconciled and kept current.		
Keep Operational Phone List	A listing of phones that are not assigned to a valid employee. These phones are the numbers of fax machines, modems, alarms, access doors, conference rooms, rollover phone lines, lobbies, etc. that cannot be found in the DOE/EM/BJC WebWhos list of employees and their telephone numbers. The list helps avoid the disconnection of valid and important phone lines throughout the DOE/EM/BJC site. Exception-approved phones are entered into this list and removed when no longer required. This list must be reconciled and kept current.	Monthly	CTM
Backup Confirmation reports	Log of backups made. This may be automatically generated by the software used.	Available upon request.	CTM
NNSA Y-12 Site Specific Reporting Requirements			
Proposed and Implemented Network Drawings	Network schematics representing in-place and proposed network devices, cabling and	As required	USN and CSN Network Managers, as appropriate

	device locations		
Services Status Reports	Track progress and highlight important issues for each service area in the PWS. Reports shall be in mutually agreed format.	Monthly	CTM via e-mail
Communication Center Activity Report	This report contains the following information: customer by department, charge number, and breakout of work by hours per month for the quarter.	Quarterly -- Issued 10 working days after the end of the Government fiscal quarter.	CTM
Cellular Telephone Inventory Status Report	Cellular telephone usage information from vendor supplied electronic billing must be reconciled, tracked, archived and put into internal report format for DTC and management review.	Monthly	NNSA Y-12 Unclassified Services Network Manager.
Cellular Telephone Usage Report by Organization	Report shows minutes used by cell phone number sorted by organization after reconciliation with bills. Includes Cellular Division Query Report on the web. Also on the web, these reports include spreadsheets showing all cell phones, cell phones by areas of the plant, and cell phones by type.	Monthly	Y-12 Internal Web under Telecommunications Services area for Directorate Telephone Coordinator (DTCs) and Director.
Paging Inventory Status by Organization for Nationwide, Wide-area, and Internal Pagers	Pager inventories must be reconciled monthly against the vendor bill for procured services. Internal pager inventories must be tracked and reconciled monthly against adds and deletes. Includes Pager	Monthly	NNSA Y-12 Network Manager and placed on the Internal Web for Directorate Telephone Coordinator (DTCs) and Director.

	Division Query Report on web. Also on the web, these reports include spreadsheets showing all pagers, pagers by type, and Web Who's Pager Verification.		
Cellular Telephone Usage History by organization by cell phone number	Report by organization by cell phone number that shows usage over the past five month period.	Monthly	Y-12 Unclassified Network Manager.
Unclassified and Classified Services Network Customer Satisfaction Reports	Report results from customer satisfaction surveys of both the CSN and USN including wireless technologies. Select 125 people each month and have them respond to a pre-determined set of questions and request rating and comments. All comments are followed up on, tracked, and resolved.		Y-12 Network Managers and appropriate technical contacts.
Unclassified and Classified Service Network Self-Assessment Reports	Reports based on analysis of number of units in service and number of repairs. Data is tracked historically and presented in graphs.	Monthly	Y-12 Network Managers and other IT managers.
Telephone System Reports including Telecommunications Requisition Report, NonRecurring Charges Report, Cost Summary Report, FTD, and Toll Reports, Phone/Circuit Division Query, Calling Card Report and Misc. Cost Detail Report.	Reports showing information supplied by Telephone System contractor put into internal report format for placement on the web for DTC and management review.	Monthly	Y-12 Internal Web under Telecommunications Services area for DTCs and Managers

Lost Cell Phone and Pager Report	Report tracks each lost cell phone and pager and includes relevant information on organization, individual, description of how item was lost and resulting action taken.	Monthly	Y-12 Unclassified Services Network Manager and Y-12 Internal Auditing.
Lost Radio Report	Report tracks lost radios including information on organization, individual, description of how item was lost, and resulting action taken.	Monthly	Y-12 Unclassified Services Network Manager and Y-12 Internal Auditing.
Reports of cryptographic key and key material	These reports track the keys back to a specific person. The Cryptognition Keys (CIK) database is an Excel spreadsheet with the following headings: number of units, CIK number, serial number, user, telephone number, building, room, issue date, and badge number.	Annual	NNSA Central Office of Record.
Statistical Operational Traffic Reports on Communications Center Activity	This report consists of a billing report for the SIMEX terminal (narrative message) fields as follows: breakout of characters and messages received and transmitted via SIMEX by each message category.	Monthly, 5 working days after the end of the calendar month.	CSN Manager
CSN Availability Report	CSN availability will be tracked with monthly reports on status.	Monthly	CSN Manager
Operational Statistics Reports	Report on statistics including the following items: trunk availability and the number of	Monthly, 5 working days after the end of the calendar	CSN Manager

	authorized users, active ports, inactive ports, total ports, trouble calls, and information calls.	month	
SF153 COMSEC Material Reports	The SF153s shall be prepared and issued as required by NNSA. Includes operational statistics.	As required	CTM
Outage Report	Narrative describing system name, outage statistics, event description, to include cause and effect, and other pertinent details	Per occurrence	CTM
USN Availability Reports	USN availability will be tracked with monthly reports on status.	Monthly	USN Manager
Radio Usage Report	Numeric representation of total radio usage including number of radios used per day, delays per radio call, channel saturation, and talk group activity.	Monthly	Y-12 Radio Manager and Y-12 USN Manager