

Air Force Abbreviated Users' Guide for: Carnegie Mellon University Software Engineering Institute (CMU-SEI) Federally Funded Research and Development Center (FFRDC) Air Force Contract

1. Introduction

The Software Engineering Institute (SEI) is operated and managed by Carnegie Mellon University (CMU) as a Federally Funded Research and Development Center (FFRDC) under Air Force (AF) contract number FA8702-15-D-0002. This contract is a cost reimbursement, no fee instrument with Federal Acquisition Regulation (FAR) clauses and provisions appropriate for research and development (R&D) work. The period of performance (PoP) of this contract is one five year base period (27 July 2015 through 30 June 2020) and one five year option period (01 July 2020 through 30 June 2025). This contract is the vehicle by which sponsors fund R&D efforts at SEI and is administered by the Air Force Life Cycle Management Center (AFLCMC), Strategic Services Division (AFLCMC/AZS) at Hanscom Air Force Base (AFB).

2. Points of Contact

CMU-SEI			
Principal Program Manager	Christopher Fairfax	cmfairfax@sei.cmu.edu	703-247-1353
Director of Contracting	Debbie Spear	daspear@sei.cmu.edu	412-268-7742
Contracts Manager	Travis Gibbons	tgibbons@sei.cmu.edu	412-268-9631
Financial Management	Michelle Yurkiewicz	msslusser@sei.cmu.edu	412-268-8092
SEI Financial Manager Common Inbox		SEI-PWS@sei.cmu.edu	
CMU-SEI User's Guide Website		http://www.sei.cmu.edu/engage/	
AFLCMC/AZS			
AZS Financial Management MIPR Common Inbox		AFLCMC.AZS.SEI@us.af.mil	781-225-0183 (fax)
AZS Program Manager Common Inbox		AFLCMC.AZS.SEI_PM@us.af.mil	
Program Manager	Jim Donahue	james.donahue@us.af.mil	781-225-0133
Contracting Officer (PCO)	Walter Ronten	walter.ronten@us.af.mil	781-225-0173
Financial Management	Linda Holahan	linda.holahan@us.af.mil	781-225-1238
OSD			
OUSDR&E	Dr. Robert Bonneau	robert.j.bonneau.civ@mail.mil	571-372-6724

3. Basic CMU-SEI Contract Information

Because this contract operates in a purely R&D environment, flexibility is provided to meet project requirements. We do not issue task or delivery orders for individual projects. The contract contains the overarching work statement and the appropriate clauses for R&D work. The contract is not modified to include additional FAR or Defense Federal Acquisition Regulation Supplement (DFARS) clauses or additional Contract Data Requirements List (CDRL) requirements for individual projects. All requirements specific to your project should be included in your specific Project Work Plan (PWP).

4. **CMU-SEI Contract Management**

This contract incorporates a DoD Sponsoring Agreement, which establishes the mission, scope, and policy by which the SEI is operated and managed, consistent with FAR 35.017. The DoD Sponsoring Agreement provides that projects operate with an agreement between SEI and the project sponsor (via the PWP). The PWP sponsor directly monitors their project and provides technical direction to CMU-SEI (within the scope set forth in the PWP). Therefore, the AF does not assign Contracting Officer Representatives (CORs) under this contract. Overall CMU-SEI contract administration is provided by the AFLCMC/AZS Procuring Contracting Officer (PCO). Please contact the AFLCMC/AZS PCO and/or Contract Specialist for any contractual concerns. AFLCMC/AZS Program Managers monitor and track PWP approvals and overall CMU-SEI performance. Please contact the AFLCMC/AZS Program Managers for any project approval or CMU-SEI performance concerns.

5. **PWP Creation and Approval**

Within scope of the contract, any agency of the U.S. Government may request CMU-SEI to undertake studies, research, or technology prototype projects. Projects are developed directly between CMU-SEI and the PWP sponsoring organization for the project (i.e. your organization/project/team/etc.). All project tasks should be outlined in the PWP as definitive as possible. Each finalized PWP will be assigned a unique identifier by CMU-SEI (exp. PWP 9-999A9). Once the PWP is finalized, the sponsoring organization must complete and sign-off a technical review that states the proposed labor, skill mix, and outside procurement is technically acceptable. (Ref CMU-SEI Technical Evaluation Report). CMU-SEI will submit the finalized PWP into the formal DoD approval pipeline.

Note: The CMU-SEI contract is not an equipment Procurement vehicle for the PWP sponsoring organization. Any outside procurement for a PWP should only support the work being done by the CMU-SEI for that PWP. At PWP closeout, any procured equipment (hardware/software) will be returned to the CMU-SEI contract.

All new PWPs must be received, reviewed, and approved by CMU-SEI, AFLCMC/AZS, and the DoD Sponsor's Representative at OUSD (R&E). PWP approval requires concurrence determinations from both a technical and contractual perspective. Final PWP approval is not granted unless funding from the sponsoring agency is also provided to AFLCMC/AZS. PWP review and approval timelines can vary depending on the quality of the work description and the funding availability. Once projects have been approved by the three parties referenced above and funding is available, the project is placed in the queue for the next contract modification. Once the modification is executed you can locate your PWP-specific funding on the contract modification by looking for your unique CMU-SEI PWP number. Military Interdepartmental Purchase Request (MIPR) acceptance is distributed at the same time (or shortly after) as award of the contract modification by AFLCMC/AZS.

For planning purposes, AZS's estimated timelines for the review and approval cycle and customer requirements for all Mod Request (MR) types are provided in [Section 7](#).

Non-DoD Customers Only:

Prior to PWP submission to AFLCMC/AZS and the DoD Sponsor Representative, non-DoD agencies must complete several reviews of the PWP. The non-DoD agency's authorize Points of Contact for Human Subject Research (HSR), Export Control, Conflict of Interest, and Privacy Reviews must review the PWP and complete the [Non-DoD Agency Review Form](#) where applicable prior to PWP submission to AFLCMC/AZS and the OSD Sponsor for review and approval. When the non-DoD Agency Review Form is completed and signed by the appropriate agency POCs, it will be returned to the SEI along with the signed PWP. The SEI will include the completed form with the PWP package sent for AZS and OSD review and approval.

6. Instructions for Funding Documents

In accordance with DoDI 5000.77, all Non-DoD Customers MUST utilize the U.S. Treasury Interagency Agreement General Terms and Conditions Form 7600A and Interagency Agreement Order Form 7600B when submitting an IAA to perform work under the SEI's FFRDC contract. Funding documents should be sent to the AFLCMC/AZS SEI Mailbox (AFLCMC.AZS.SEI@us.af.mil), with Michelle Yurkiewicz copied on the email (mslusser@sei.cmu.edu). The Project Work Plan (PWP) number for the specific project should be referenced on all funding documents. If needed, the mailing address for AFLCMC/AZS is:

AFLCMC/AZS
Attention: (enter name here)
20 Schilling Circle
Bldg. 1305, 3rd Floor
Hanscom AFB, MA 01731-2125

a. Non-Severable Research, Development, Test & Evaluation Work

- i. The work performed on this contract is predominately non-severable RDT&E. Therefore, AFLCMC/AZS administers all funds as if they are in support of non-severable RDT&E work (unless notified to the contrary.) This means that starting at the date of obligation, funds are available on the contract until the end of the Period of Performance (PoP) of the PWP. Non-severable RDT&E work under this contract may be incrementally funded.
- ii. Any expected timelines in regard to the schedule of your project should be addressed in your project's work plan document (created with CMU-SEI staff); DO NOT use a PoP on funding documents to drive project schedules.
- iii. We recognize that some agencies may support non-severable RDT&E work with different appropriations; if you are providing non-RDT&E funding, please see Paragraph 6.c.ii below.

Note 1: PWP Sponsors CANNOT mix appropriations when incrementally funding a Non-Severable PWP (e.g. the first increment is funded with a RDT&E appropriation and the second increment is funded with a Procurement appropriation).

Note 2: For Non-Severable work using O&M and Procurement appropriations full funding must be available at the time of PWP award.

b. Severable Work in Support of Research, Development, Test & Evaluation

- i. If the RDT&E funded work is to be considered as severable work, please note this when submitting your funding documents (severable work does not have an end-item/deliverable). Please contact the AFLCMC/AZS PCO if there is a question as to whether the nature of the work is severable or non-severable.
- ii. Funds provided in support of Severable work will be available for only 12 months from the date of obligation and may cross fiscal years. DO NOT use a PoP on the funding documents that contradict this 12 month limitation.

Note 1: PWP Sponsors CANNOT mix appropriations when incrementally funding a Severable PWP (e.g. the first increment is funded with a RDT&E appropriation and the second increment is funded with an O&M appropriation).

Note 2: Incremental funding is permitted for Severable work using O&M and Procurement appropriations.

c. DoD Customers Only

- i. Please ensure the following items are met on your DoD funding documents:
 - All DoD documents must be obligated as Direct Cite (Category II).
 - The funding document must contain the following statement:

“These funds are provided for obligation in support of CMU-SEI Project Number _____.
Project sponsor e-mail address for acceptance documentation is _____.”
 - The project work plan must not be attached to the funding document. Any reference to the work plan should be phrased: “Funding for work to be performed per work plan provided under separate cover.”
 - Funding documents must contain a Project Element Code (PEC) in the Line of Accounting (LOA) or elsewhere on the funding document.
 - Funding documents citing Accounting Disbursing Station Number (ADSN) 503000 or 667100 must be posted to the financial system with Processing Center Code (PC) “B” for Mechanization of Contract Administration Services (MOCAS).
- ii. Instructions for Non-RDT&E Funds

Because the CMU-SEI AF Contract is an R&D contract it is supported by RDT&E funds (with exceptions as allowed under the DoD Financial Management Regulation 7000.14-R.) Any proposed use of non-RDT&E funds requires explanation, documentation, and justification before such funds are accepted and obligated to the contract. When submitting documents which cite non-RDT&E funds, please submit justification of funds in the form of a Memorandum for Record (MFR) that includes the following information:

 - Brief but succinct description of the specific work to be performed and supported by these specific funds (please do not provide a copy of the project work plan). Please describe the specific section of work that will be supported by non-RDT&E funds; do not describe the project in general terms.
 - An explanation stating why the type of funds provided is appropriate for this specific purpose.
 - A citation of the specific reference in the DoD Financial Management Regulation that allows for such funding to be used in support of the work effort.
 - Any additional detailed information that justifies the use of these non-RDT&E funds.
 - The signature of a Government Budget/Financial representative.

d. *Non-DoD Customers Only*

Reimbursable Authority (RBA) will be used for funding documents from non-DoD agencies.

i. Determination and Findings

Non-DoD agencies citing authority under The Economy Act (FAR 17.502-2(c)) shall provide a Determination and Findings (D&F) with their funding document. The D&F must be approved by a Contracting Officer of the requesting agency with authority to contract for the supplies or services to be ordered, or by another official designated by the agency head.

ii. Interagency Agreements (IAs)

IAs must be provided for all work with non-DoD agencies. The IA is a separate document from funding documents. (Ref CMU-SEI Model Interagency Agreement.). As noted in page 3, all Non-DoD agencies MUST utilize the U.S. Treasury Interagency Agreement General Terms and Conditions Form 7600A and Interagency Agreement Order Form 7600B. All references to the PoP within the IA must be the same; the PoP must be the same as stated in your work plan (developed with CMU-SEI). To extend the PoP on IAs, please contact the AFLCMC/AZS PCO and/or Contract Specialist.

- The IA must contain the following statement:

“These funds are provided for obligation in support of CMU-SEI Project Number _____.
Project sponsor e-mail address for acceptance documentation is _____.”

iii. Non-DoD Funding Documents

Non-DoD funding documents must provide an Agency Location Code (ALC) and a Treasury Account Symbol (TAS) code for each LOA. These codes are required by Defense Financial and Accounting Services (DFAS) to process reimbursements through the Intra-Government Payment and Collection (IPAC) System. If the work is incrementally funded, all increments of funding must contain the PoP as stated in your work plan (as developed with CMU-SEI).

iv. Cost Recovery Fee

Effective 04 Jan 2016, all non-DoD customers will be assessed a tiered cost recovery fee when utilizing the CMU-SEI FFRDC contract. (Ref Assisted Acquisition Cost Recovery Charge Letter dated 10 Dec 2015.) The fees will be collected directly from the non-DoD customer to be deposited into the Air Force Miscellaneous Receipt account held at the Defense Finance and Accounting Service in Columbus, OH (DFAS-CO) and later transferred to the U.S. Treasury Miscellaneous Receipt account for the purpose of costs associated with MIT-LL and CMU-SEI projects placed under the Economy Act. Fees must be collected using the Intra-Governmental Payment and Collection (IPAC) System.

Contracts are required to pay the cost recovery charge in support of this assisted acquisition service. The amount of this cost recovery charge is tiered based on the type of action and will be assessed on a per transaction basis. This fee will be assessed for the categories listed below – this is per customer, per line of accounting.

Type of Contract Action	Cost
“Severable” New Starts	\$825
“Non-Severable” New Starts	\$750
“Severable” Special/Classified New Starts	\$750
“Non-Severable” Special/Classified New Starts	\$680
Incremental Funding	\$300
De-Obligations	\$300
Administrative Requests	\$300

Required statement on funding documents: “I understand the purpose of the cost recovery charge and agree to make funds available to pay this cost per transaction.”

7. AZS Timeline of Mod Requests

a. MR Types and Estimated Timelines

Type of Modification	Timeline Business Days DoD	Timeline Business Days Non-DoD
New Start Project	31	36
Incremental Funding	23	35
Period of Performance Change	20	22
Ceiling Change – No Scope Change	23	35
Ceiling Change – with Scope Change	28	40
De-Obligation	20	20
Supplemental Agreement	18	18
Administrative	20	20

b. PWP Change Requirements

Change	Requirement
Cost Estimate Increase / Decrease	Customer must sign & date updated PWP, validating previous Technical Evaluation. For cost increases above 10% or added scope, a new Technical Evaluation (signed and dated) and OUSD approval are also required.
Task Changes	Customer must sign & date updated PWP, validating previous technical evaluation. OUSD Approval required.
Period of Performance	Customer must sign & date updated PWP, validating previous technical evaluation.
PWP Version	Customer must sign & date updated PWP, validating previous technical evaluation.
(Initial) Funding at AZS	Arriving after 120 days from OUSD Approval date, Customer must sign & date updated PWP, validating previous technical evaluation. If the PWP Value, Scope, or PoP days change, OUSD Approval required.
Scope Change Adding / Removing Tasks	Customer must sign & date updated PWP with new Technical Evaluation.
De-Obligation After All Work Completed	Email from the Customer and SEI agreeing to all work being completed and to the de-obligation amount.