

# 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	Michael Wright	maw128@sei.cmu.edu	412-268-2524
Contracts Officer	Krystyna Martin	kmartin@sei.cmu.edu	412-268-3314
Contracts Officer	Amy Leyland	ajl@sei.cmu.edu	412-268-5887
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		<a href="http://www.sei.cmu.edu/engage/">http://www.sei.cmu.edu/engage/</a>	
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			
ASD(R&E)/ISCT	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 ASD (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:

USAF Agencies will provide funds via AF Form 9 or AFMC Form 36.

Other DoD Agencies will provide funds via DD Form 448, Military Interdepartmental Purchase Request.

IAW DoD Instruction 5000.77, Non-DoD Agencies will provide funds via an Inter-Agency Agreement (IAA) using FS Form 7600A and 7600B. Copies of these forms and instructions can be obtained through the US Treasury Department.

All funding documents (AF Form 9, AFMC Form 36, DD Form 448, or FS Forms 7600A and 7600B) must include:

- a. Reference the relevant Project Work Plan by number.
- b. Identify the Project Sponsor authority for placing the order such as "Economy Act" (31 U.S.C. Section 1535, the "Project Order Statute" (41 U.S.C. Section 6307) or any other Statute.
- c. A brief description of the services ordered beginning with "Research and Development Services with CMU-SEI through contract FA8702-15-D-0002 in accordance with Project Work Plan (PWP) <enter PWP number>."
- d. Established dollar limits.
- e. Funding citation(s).
- f. Delivery Requirements (usually Not Applicable).
- g. Payment Provisions. **Intra-governmental Payment and Collection (IPAC)** is the Preferred Method. If IPAC is used, the payment method must agree with the IPAC Trading Partner Agreement (TPA).  
Requesting Agency Initiated IPAC Servicing Agency Initiated IPAC
- h. Requesting Agency Location Code (ALC).
- i. Requesting Agency Treasury Account Symbol (TAS)

Further instructions for FS Form 7600A and 7600B:

- a. Servicing Agency Tracking Number: Enter the CMU-SEI Project Work Plan number.
- b. Agreement Period: Start and end dates MUST encompass the total number of days in the period of performance (PoP) in the Project Work Plan. The agreement period may be longer than the PoP but cannot be less. Allow for 45 days for AZS to process actions after all documents are provided.
- c. Advance Payments: Select "No".
- d. Identify the agreement as an Assisted Acquisition.
- e. Estimated cost of project as Direct Cost. As Overhead Fees & Charges enter Cost Recovery Fees in accordance with AFLCMC/AZS memorandum Assisted Acquisition Cost Recovery Charge for Non-Department of Defense (DoD) Reimbursable Budget Authority (RBA) Customers, 19 April 2019.

Under general explanation of Overhead Fees and Charges enter the following statement: “I understand the purpose of the cost recovery charge and agree to make funds available to pay this cost per transaction”.

- f. Enter Servicing Agency Authority as Economy Act.
- g. Requesting and Servicing Roles: Enter “See Attachment 1; Roles and Responsibilities”. Include the Roles and Responsibilities in this guide as an attachment to the IA.
- h. Servicing Agency Location Code (ALC): is 00003801
- i. Servicing Agency Name: AFLCMC/AZS Enterprise Services Division
- j. Servicing Agency Business Partner Network (BPN): DODFA8702
- k. Billing Frequency: Monthly
- l. 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 \_\_\_\_\_.”
- m. Service Agency:
  - a. Program Official:
    - i. Name: Walter Ronten
    - ii. Title: Contracting Officer
    - iii. E-Mail: [walter.ronten@us.af.mil](mailto:walter.ronten@us.af.mil)
    - iv. Phone: (781) 225-0173
  - b. Funding Official:
    - i. Name: Ricky Oliver
    - ii. Title: Chief Financial Officer
    - iii. E-Mail: [ricky.oliver@us.af.mil](mailto:ricky.oliver@us.af.mil)
    - iv. Phone: (781) 225-4783
  - c. Program Official/POC:
    - i. Name: James Donahue
    - ii. Title: Program Manager
    - iii. E-Mail: [james.donahue@us.af.mil](mailto:james.donahue@us.af.mil)
    - iv. Phone: (781) 225-0133
  - d. Billing POC:
    - i. Name: Linda Holahan
    - ii. Title: Financial Specialist
    - iii. E-Mail: [linda.holahan@us.af.mil](mailto:linda.holahan@us.af.mil)
    - iv. Phone: (781) 225-1238
- n. Funding documents should be sent to the AFLCMC/AZS SEI Mailbox ([AFLCMC.AZS.SEI@us.af.mil](mailto:AFLCMC.AZS.SEI@us.af.mil)), with Michelle Yurkiewicz copied on the email ([mslusser@sei.cmu.edu](mailto: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, 3<sup>rd</sup> Floor  
Hanscom AFB, MA 01731-2125

**Non-Severable/Severable Information:**

*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.

**Non-DoD Customers:**

a. *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 encompass the period of performance on the approved PWP. To extend the PoP on IAs, please contact the AFLCMC/AZS PCO and/or Contract Specialist.

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.

<b>Type of Contract Action</b>	<b>Cost</b>
“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
Changes in requirements (addition or deletion) to existing PWPs	\$300
De-Obligations	\$300
Administrative Requests	\$300
No Cost Period of Performance (POP) extensions	\$0

**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.”

**AZS Timeline of Mod Requests**

*b. MR Types and Estimated Timelines*

<b>Type of Modification</b>	<b>Timeline Business Days DoD</b>	<b>Timeline Business Days Non-DoD</b>
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

c. *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, Non-DoD customers may need to modify their Interagency Agreement (Forms 7600A and 7600B) so the agreement period encompasses the changed period of performance.
PWP Version	Customer must sign & date updated PWP, validating previous technical evaluation.
(Initial) Funding at AZS	If funds arrive 120 days or more from OUSD Approval date the PWP and Technical Evaluation must be re-validated. 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.



Attachment 1:

Interagency Agreement: \_\_\_ <insert IA number> \_\_\_\_\_

Requesting and Servicing Agency Roles and Responsibilities  
Assisted Acquisition with  
Carnegie Mellon University Software Engineering Institute  
Federally Funded Research and Development Center

Requesting Agency:

<insert name/address of requesting  
Agency>

Servicing Agency:

USAF AFLCMC/AZS Strategic Services Division  
20 Schilling Circle, Bldg. 1305  
Hanscom AFB, MA 01731

Requesting Agency Responsibilities:

- a. Determine requirement as a bona fide need.
- b. Determine that it is the best interest of the Government to pursue and assisted acquisition through the Servicing Agency with Carnegie Mellon University Software Engineering Institute (CMU-SEI) IAW FAR Part 17.502-2(c).
- c. Determine if the required project is a severable or non-severable service.
- d. In consultation with CMU-SEI, develop requirements as a Project Work Plan (PWP) which will constitute the Performance Work Statement for the project.
- e. Review PWP for compliance with laws and regulation concerning: Classified Information, Human Subject Research (HSR), Personally Identifiable Information (PII), and Import/Export restrictions.
- f. Review the basic FFRDC contract FA8702-15-D-0002 clauses. Determine if any additional clauses are necessary to fulfil the project requirements. List the titles of these clauses in the Interagency Agreement and in enter them in the Project Work Plan in full text.
- g. Conduct a Technical Review of the Project Work Plan and proposed labor, materials, travel and other direct cost items proposed by CMU-SEI.
- h. Draft an Interagency Agreement IA using FS Form 7600A and 7600B. Insure funds provided are certified, legally available, and applicable for research and development services.
- i. Receive all data and other deliverables. Monitor contractor performance.

j. Provide a Project Manager as point of contact for all issues arising from performance of the project. Identify to the servicing agency any issues or disputes between the requesting agency and CMU-SEI.

k. In consultation with CMU-SEI, determine the need for any changes in the PWP post award. Draft revised PWP and technical evaluation of labor and materials for additional work (if any).

l. Notify the Servicing Agency when the project is completed satisfactorily or otherwise terminated.

#### Servicing Agency Responsibilities:

a. Review initial PWP and any subsequent modifications. Determine if the work required is within the basic contract scope and FFRDC Sponsorship Agreement. Determine if the project is within the ordering restrictions of the basic contract.

b. Determine price reasonableness.

c. Award project to CMU-SEI as a task order under the basic contract or as a modification to an existing task order as a unique Contract Line Item. Obligate funds provided.

d. Comply with competition requirements of FAR Part 6. (NOTE: Basic IDIQ contract with CMU-SEI awarded under less than full and open competition IAW FAR 6.302-3).

e. Upon completion of the project, the Servicing Agency will deobligate and return all excess funds to the Requesting Agency.