CONTRACT DOCUMENTATION REQUIREMENTS

1. Monthly Financial Management Report:

a) The Contractor shall submit a Monthly Contractor Financial Management Report in accordance with NASA FAR Supplement (NFS) 1852.242-73, NASA Contractor Financial Management Reporting. The Contractor shall prepare and submit the form in accordance with the instructions set forth on the reverse side of the form and NASA Procedural Requirements (NPR) 9501.2E, NASA Contractor Financial Management Reporting.

b) The Contractor shall submit a separate 533M for each authorized task order.

c) The Contractor shall submit a summary 533M covering all authorized task orders.

d) The Contractor shall submit the report **not later than the 10th working day** following the close of the Contractor's accounting period being reported.

e) The Contractor shall complete Columns 8.a and b using estimates (forecasts) for the succeeding two months.

f) The Contractor shall ensure that estimates (forecasts) are the best projection of the actual costs to be reported in column 7.a of the subsequent month's 533M. Since NASA uses the Contractor's estimate for the current month (column 8.a of the 533M) as accrued costs in its monthly financial statements, the accuracy of these projections are critical to the integrity of NASA's financial data.

g) The Contractor shall include a narrative explanation for variances exceeding plus or minus 10 percent (+/-10%) between estimated costs shown in the prior month and actual costs shown in the current month at the contract level. (For example, the estimated costs shown for June in column 8.a in the May 533M and the actual June costs shown in column 7.a in the June 533M.)

h) The Government will consider the Contractor's accuracy of financial reporting when evaluating the Contractor's performance in the Contractor Reporting Assessment Reporting System (CPAR).

i) The minimum reporting categories indicated below shall be included in column 6 of this report.

1. Direct Labor Hours
2. Direct Labor Dollars
3. Overhead(s)
4. Subcontract
5. Material
6. Travel
7. Other Direct Cost
8. G&A
9. Total Estimated Cost
10. Fee
11. Total Estimated Cost and Fee

2. Monthly Progress Report: The Contractor shall submit monthly progress reports for each task order describing work accomplished during the reporting period, current and potential problem areas and proposed corrective action, and work to be performed during the next reporting period. The Contractor may summarize all task order reports in one report, unless otherwise stipulated in individual task orders. The Contractor shall submit the monthly progress report **within 10 working days after the end of each calendar monthly report period.**

3. Final Report: Each task order may require the Contractor to submit a final report, either formal or informal which documents and summarizes the results. The requirement for a final report will be identified in the individual task. When a formal final Contractor report is required, the Contractor shall submit it in accordance with the instructions contained in NFS 1852.235-73, Final Scientific and Technical Reports.

4. Informal Final Report: Each task order may require the Contractor to submit a final report, either formal or informal, which documents and summarizes the results. When a formal final contractor report is required, it shall be submitted in accordance with the instructions contained in NFS 1852.235-73 Final Scientific and Technical Reports. The specified number of approval copies shall be submitted within the completion date specified in the task orders.

5. Safety and Health Plan: The Contractor shall submit a Safety and Health Plan **within 30 days of contract effective date**. Per NFS 1852.223-70(j), the Contractor is required to continually update the Safety and Health Plan when necessary (e.g., requirement change, safety regulation change, safety incident impact). The Contractor shall submit a revised Plan for Contracting Officer approval no later than 30 days after the effect of a change or incident.

6. IT Security Management Plan:

a) In accordance with NFS 1852.204-76, Security Requirements for Unclassified Information Technology Resources, the Contractor shall submit an IT Security Management Plan **within 30 days after contract effective date** for review and approval by the Center Information Security Officer (CISO).

b) The Contractor shall maintain the IT Security Management Plan throughout the term of the contract. The Contractor's plan shall:

   1) Identify how the requirements for IT security (including developing and maintaining IT system security plans, contingency plans, and performing information system security assessment).
   2) Identify how the requirements for which NASA directives specifically mandate compliance with respect to security of NASA IT resources will be met.
   3) Describe how the Contractor intends to hold its employees and subcontractors accountable for meeting all the requirements relative to the NPR 2810.1, NASA interim IT requirements (NITRs), IT Security Handbooks, and CIO directives. The documents can be found at: http://www.nasa.gov/offices/ocio/itsecurity/index.html.
   4) Describe how the Contractor will meet future or changing IT security requirements as directed by Federal Law or NASA requirements.
   5) Describe how the Contractor plans to protect their corporate IT resources to ensure that they pose no adverse impact on NASA resources.
   6) Describe how the Contractor will protect NASA or contract-specific information and data under their control.
   7) Describe how the Contractor plans to provide documentation for any required IT security-related deliverable,

8) Describe how the Contractor will ensure compliance with all NASA IT security training and awareness requirements.
9) Describe how the Contractor will ensure compliance with NASA-established physical security requirements as they relate to IT security requirements.
10) Describe how the Contractor will ensure compliance with personnel screening requirements including assurance that employees with privileged access have the appropriate background screening.
11) Describe the Contractor's procedures for termination of employees including assurance that all access privileges (e.g., network, remote access, virtual private network (VPN), campus computing, and other application access) are terminated.

c.) The IT Security Management Plan will be made part of this contract and will be updated as required by changes in the Federal Law or other NASA regulations.

d.) Specific guidance for contracts can be found in the following documents. These documents can be located at http://www.nasa.gov/offices/ocio/itsecurity/index.html or http://csrc.nist.gov/publications/PubsSPs.html

1) Federal Information Security Management Act (FISMA)
2) NPD 1600.2, NASA Security Policy
3) NPD 2810.1, NASA Information Security Policy
4) NPR 1600.1, NASA Security Program Procedural Requirements
5) NPR 1620.2, Physical Security Vulnerability Risk Assessments
6) NPR 2810.1a, Security of Information Technology
7) NIST Special Publication (SP) 800-18, Guide for Developing Security Plans for Federal Information Systems
8) NIST Special Publication (SP) 800-35, Guide to IT Security Services
9) NIST SP 800-36, Guide to Selecting Information Security Products
10) NIST SP 800-64, Security Considerations in the Information System Development Life Cycle

7. NASA Property in the Custody of Contractors:

a) The Contractor shall **submit annually a NASA Form (NF) 1018**, NASA Property in the Custody of Contractors, in accordance with NFS 1852.245-73, Financial Reporting of NASA Property in the Custody of Contractors. The Contractor shall comply with the instructions on the Form and NFS 1845.71 and any supplemental instructions for the current reporting period issued by NASA.

b) Subcontractor use of NF 1018 is not required by this clause; however, the Contractor shall include data on property in the possession of subcontractors in the annual NF 1018**.**

c) The Contractor shall submit the NF 1018 no later than October 15th of each year for the period October 1 through September 30 of the following year.

d) A **final report** shall be submitted **within 30 days** after disposition of all property when **contract performance is complete**.

8. Subcontracting Reports:

a) NASA's preferred method for obtaining both Standard Form 294, Subcontracting Report for Individual Contracts, and Standard Form 295, Summary Subcontractor Report is electronically using Electronic Subcontract Reporting System (eSRS). Access to eSRS can be found at: http://www.esrs.gov/

b) If the Contractor does not submit an electronic SF 294 and SF295 using eSRS, the Contractor shall follow the instructions found on the reverse of the forms and the instructions for distribution in Part II below.

c) In addition to the above, the Contractor is required to comply with NFS Clause 1852.219-75, Small Business Subcontracting Reporting.

9. ISO 9001 Compliance Documents:

a) At time of proposal, the Contractor shall submit a copy of its Quality Plan and its Quality System Manual. The Contractor shall also submit the specific Quality System Procedures to address the following: (a) contract and subcontract management, (b) customer requirement review and execution, (c) task management, including work order generation and processing, (d) document control, (e) handling of customer supplied product, (f) corrective, preventive and continuing improvement action systems, (g) training of employees, (h) customer satisfaction/performance measurement and (i) design control.

b) The Quality Plan shall describe how the Contractor will maintain or modify existing quality system documentation needed to ensure effective planning, operation and control of processes/work activities/resources specific to accomplish the requirements of this contract. The Contractor shall describe how the integrity of the Quality Management System (QMS) is maintained when changes to the QMS are planned and implemented.

c) The Quality System Manual shall describe the quality management system of an organization. The quality manuals can vary in detail and format to suit the size and complexity of an individual organization.

10. Class A, B, & C CMMI Appraisal Results Documentation Requirements*:* The Contractor shall submit the results of Standard CMMI Appraisal Method for Process Improvement (SCAMPI-A) appraisals against the CMMI model in accordance with H.17, Capability Maturity Model Integration requirements, **within 9 months of contract effective date**. The Contractor shall submit results of SCAMPI-A appraisals conducted to renew the Contractor's CMMI rating every three years. The SCAMPI-A appraisal results shall include the items listed under the Appraisal Disclosure Statement in Appendix A of the Software Engineering Institute
Handbook: http://www.sei.cmu.edu/pub/documents/02.reports/pdf/02hb002.pdf

11. Class D Software Development Plan Documentation Requirements: The Contractor shall submit the Class D Software Development Plan, (SDP) **within 30 days from the contract effective date** for the Government's review and approval. The SDP and supporting documents shall be prepared in accordance with the requirements specified in H.18 of this contract. Any updates to the SDP and changes to the plan as a result of software modifications shall be documented These updates/changes to the SDP plan shall be submitted to the Government for review and approval throughout the period of performance of the contract.

12. Class E Software Development Plan Documentation Requirements: The Contractor shall submit the Class E Software Development Plan, (SDP) **within 30 days from the contract effective date** for the Government's review and approval. The SDP shall be prepared in accordance with the requirements specified in H.20 of this contract. Any updates to the SDP and changes to the plan as a result of software modifications shall be documented These updates/changes to the SDP plan shall be submitted to the Government for review and approval throughout the period of performance of the contract.

13. Employment Reports on Veterans: The Contractor shall submit a Veterans' Employment Reports (VETS-100A Report) as required by Clause 52.222-37, Employment Reports Veterans. Within 30 days following the VETS-100A Report submission, the Contractor shall submit a letter to the Contracting Officer confirming that it has submitted the most recent annual VETS-100A Report required by FAR 52.222.37.

14. Interim Patent Rights Report (only applicable to small businesses and nonprofit organizations): The Contractor shall submit an annual list of subject inventions required to be disclosed as set forth in FAR 52.227-11, Patent Rights-Ownership by the Contractor (as modified by NFS 1852.227-11, Patent Rights-Retention by the Contractor).

15. Final Patent Rights Report (only applicable to small businesses and nonprofit organizations): The Contractor shall submit a listing of all subject inventions required to be disclosed or certify that there were none as set forth in FAR 52.227-11 Patent Rights-Ownership by the Contractor (as modified by NFS 1852.227-11, Patent Rights-Retention by the Contractor).

16. Invention Disclosure Reporting (only applicable to small businesses and nonprofit organizations): The Contractor shall disclose each subject invention under the contract as set forth in FAR 52.227-11, Patent Rights-Ownership by the Contractor, (as modified by NFS 1852.227-11, Patent Rights-Retention by the Contractor). The electronic and paper version of NASA Form 1679, Disclosure of Invention and New Technology (Including Software), shall be used for this reporting. Both the electronic and paper versions of this form may be accessed at http://invention.nasa.gov. Disclosures are **required within two months** after the inventor discloses it in writing to Contractor personnel who are responsible for patent matters.

17. Interim New Technology Report (applicable to large businesses only): The Contractor shall submit an annual list of subject inventions, certify that all subject inventions have been disclosed (or that there are no such inventions), and certify that the procedures required by paragraph (e) (1) of NFS 1852.227-70, New Technology, have been followed.

18. Final New Technology Report (applicable to large businesses only): In accordance with NFS 1852.227-70 New Technology, the Contractor shall submit a Final New Technology Report listing all reportable items or certifying that there were no such reportable items and listing all subcontracts at any tier containing a patent rights clause or certifying that there were no such subcontracts. This report is **due within 3 months after completion** of the contracted work.

19. Invention Disclosure Reporting (applicable to large businesses only): The Contractor shall disclose each subject invention under the contract as set forth in NFS 1852.227-70, New Technology. The electronic and paper version of NASA Form 1679, Disclosure of Invention and New Technology (Including Software) shall be used for this reporting. Both the electronic and

paper versions of this form may be accessed at http://invention.nasa.gov. Disclosures are **required within two months** after the inventor discloses it in writing to Contractor personnel who are responsible for the administration of the New Technology clause.

20. Organizational Conflicts of Interest (OCI) and Personal Conflicts of Interest (PCOI) Avoidance Plan:

a) Contract Level: The Contractor shall provide a plan for complying with the requirements of NFS 1852.237-72, Access to Sensitive Information and Section H.5, Organizational Conflicts of Interest **within 30 calendar days from the effective date of the contract**. The Contractor shall explain its approach to identifying, mitigating and/or avoiding OCIs (and if FAR 52.203-16 is included in the contract, personal COIs) that may arise under this contract. The Contractor shall include, at a minimum: (i) an assessment of the potential risk for various types of conflicts such as access to sensitive, non-public information; (ii) the Contractor process for identifying OCIs, including the Contractor's coordination with each of its parent, subsidiaries, affiliates, office locations, divisions and/or other similar entities (collectively, the "Business Units") to determine whether OCIs currently exist; (iii) the approach for maintaining communication with each Business Unit during the performance of this contract to identify potential OCIs arising during such performance period; (iv) the approach to training and refresher training for its employees, (v) once identified, the methods the Contractor will utilize to mitigate the various types of OCIs; and, if applicable, (vi) the Contractor's approach for identifying, mitigating and/or avoiding personal COIs for "covered employees" performing acquisition functions closely associated with inherently governmental functions under the contract.

The plan and subsequent revisions will be reviewed and approved by the Contracting Officer. The approved plan will be incorporated into the contract as a compliance document once approved.

b) Task Order Level: The Contractor shall submit a task plan for each task order that addresses whether OCIs and PCOIs were considered and identified as appropriate. The plan shall also identify the nature of limitations on future contracting arising from such OCIs and PCOIs.

II. DOCUMENT DISTRIBUTION REQUIREMENTS

(a) Unless otherwise specified elsewhere in this contract, reports and other documentation shall be submitted F.O.B. destination as specified below, addressed as follows:

National Aeronautics and Space Administration
Langley Research Center
Attn: Bobbi Forbes
Mail Stop 12
Hampton, VA 23681-2199
Reference: Contract NNL13AA00B;

(b) The following letter codes designate the recipients of reports and other documentation which are required to be delivered prepaid to Langley Research Center by the Contractor:

LETTER CODE	RECIPIENT	ADDRESS
A	Contracting Officer/Contract Specialist	Mail Stop 12

B	Contracting Officer Representative (COR)	Mail Stop 130
C	CMMI Representative	Mail Stop 237
D	Financial Management	LaRC-DL-NF533@mail.nasa.gov
E	Safety and Facility Assurance Branch	Mail Stop 350 fax 757-864-8918 CMAR http://cmar.larc.nasa.gov/login.cfm
F	Contractor Labor Relations Officer	Mail Stop 12
G	Financial Management	Mail Stop 22
H	Patent Counsel	Mail Stop 30
I	Industrial Property Officer	Mail Stop 135
J	Small Business Specialist	Mail Stop 12
K	Center Information Technology Security Manager (CITSM)	Mail Stop 164
L	According to instructions on form	N/A
M	As required by Task Order	N/A
N	Task Order Technical Point of Contract	Mail Stop as identified in task orders
O	Langley Management System Project Office	Mail Stop 438
P	Center STI Publication Manager	Mail Stop 196
Q	Industry Assistance Representative	Mail Stop 12
R	On and Near-Site Staffing Report	larc-dl-contractorwye@mail.nasa.gov
S	Environmental Management Team	Mail Stop 213
T	ISO 9001 Management Team	Mail Stop 218

(c) The following are the distribution requirements for reports and other documentation required to be delivered f.o.b. destination. The numeral following the letter code specifying the number of copies to be provided:

NUMBER	REPORT OR DOCUMENTATION	DOCUMENT DISTRIBUTION
1	Monthly Financial Management Report NASA Forms 533M	A-1, B- 1, D-1
2	Monthly Progress Report	*A-1 only if listed in Task Order, B-1, M-1
3	Final Report	A-1, B-1
4	Informal Final Report	A-1; (P-1 copy of the transmittal letter that forwarded report to the CO and other distribution of the transmittal letter as specified in NFS 1852.235-73)
5	Safety and Health Plan	A-1, B-1, E-1
6	Information Technology (IT) Security Management Plan	A-1, B-1, K-1
7	Report of Property in the Custody of Contractors (NASA Form 1018)	G-1, I-1, L
8	Subcontracting Report for Individual Contracts (Standard Form 294)	A-1, J-1, L (if the eSRS is NOT used)
9	ISO Compliance Documents	A-1, B-1, T-1
10	CMMI Appraisal Results Documentation	A-1, B-1, C-1

NUMBER	REPORT OR DOCUMENTATION	DOCUMENT DISTRIBUTION
11	Software Development Plan (SDP) - Class D	A-1, B-1, C-1
12	Software Development Plan (SDP) - Class E	A-1, B-1, C-1
13	Veterans Employment Report (VETS-100)	L
14	Interim Patent Rights Report	A-1, B-1
15	Final Patent Rights Report	A-1, B-1
16	Invention Disclosure Report	A-1, B-1, H-1
17	Interim New Technology Reports	A-1, B-1
18	Final New Technology Reports	A-1, B-1
19	Invention Disclosure Reports	A-1, B-1, H-1
20	Organizational OCI Avoidance Plan (and Personal Conflict of Interest)	A-1, B-1

(d) When the Contracting Officer/Contract Specialist (A) is not designated above to receive a copy of a report or document, the Contractor shall furnish a copy of the report/document transmittal letter to the Contracting Officer/Contract Specialist. If delegated, the Contractor shall also furnish a copy of the transmittal letter and a copy of each Financial Management Report to the delegated Administrative Contracting Officer of the cognizant DoD (or other agency) contract administrative services component.