
EXHIBIT B – CONTRACT DOCUMENTATION REQUIREMENTS

I. DOCUMENTATION REQUIREMENTS**1. *Monthly Financial Management Report –***

(a) The Contractor shall submit a monthly financial management report as provided by the NFS clause 1852.242-73, NASA Financial Management Reporting. This report shall be submitted utilizing NASA Form 533M, Monthly Contractor Financial Management Report, in accordance with submission instructions contained on the reverse side of the form.

(b) For this contract, a 533M for each authorized cost reimbursement task order shall be provided. If specified in the Task Order, the Contractor shall report costs by Government WBS identifier (number). The 533M shall include for the levels indicated below:

(i) Contract Total. (Column 9b shall reflect total estimated cost of \$# plus incentive fee of \$#.)

(ii) Due not later than the 10th working day following the close of the Contractor's accounting period being reported.

It is NASA's goal to improve the integrity of its financial data. Since NASA uses the Contractor's estimate for the current month (column 8a of the 533M) as accrued costs in its monthly financial statements, it is important that this estimate be your best projection of the actual costs to be reported in column 7a of the subsequent month's 533M.

Therefore, each NF533M shall include a narrative explanation for variances exceeding +/-10 percent between estimated dollars shown in the prior month and actual dollars shown in the current month at the task order level. (For example, the estimated dollars shown for June in column 8a. in the May 533M and the actual June dollars shown in column 7a. in the June 533M.) Accuracy of financial reporting will be evaluated as part of the annual past performance evaluation.

(c) The minimum reporting categories specified below shall be included in column 6 of this report.

(i) Direct Labor Hours

(ii) Direct Labor Dollars

(iii) Overhead(s)

- (iv) Subcontract
- (v) Material
- (vi) Other Direct Cost
- (vii) G&A
- (viii) Total Estimated Cost
- (ix) Fee
- (x) Total Estimated Cost and Fee

2. *Monthly Technical Letter Progress Report* -- The Contractor shall submit monthly technical letter reports describing progress of the program to date, noting all technical areas in which effort is being directed and indicating the status of work within these areas. Reports shall be in narrative form, brief and informal in content. These reports shall include:

- a. A narrative statement of work accomplished during the report period.
- b. A statement of current and potential problem areas and proposed corrective action.
- c. A discussion of work to be performed during the next report period.
- d. The direct labor-hours and total cost expended during the report period as well as the cumulative direct labor hours and total cost expended to date for each task order and the projected direct labor hours and total cost to be expended to completion of the task.

The monthly progress report shall be submitted within 10 working days after the end of each calendar monthly report period. A monthly report shall not be required for the period in which the final report is due. This submittal shall be subject to the provisions of the Section I clause FAR 52.242-2 Production Progress Reports.

3. *Quarterly Progress Report* -- Task orders may require the contractor to submit separate quarterly reports of all work accomplished during each three-month period of contract performance. In addition to factual data, these reports shall include a separate analysis section that interprets the results obtained, recommends further action, and relates occurrences to the ultimate objectives of the contract work. Sufficient diagrams, sketches, curves, photographs, and drawings shall be included to convey the intended

meaning. The quarterly progress report shall be submitted within 10 working days after the end of each calendar monthly report period. A quarterly report shall not be required for the period in which the final report is due.

4. Final Reports - Task orders 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 NASA FAR Supplement clause 1852.235-73 Final Scientific and Technical Reports. The specified number of approval copies shall be submitted within the time specified in the task orders.

5. NASA Property in the Custody of Contractors (NASA FORM (NF) 1018) - The Contractor shall submit the NF 1018 no later than October 15th of each year in accordance with the Section I, NFS clause entitled 1852.245-73 Financial Reporting of NASA Property in the Custody of Contractors.

6. Employment Reports on Veterans - In compliance with Clause 52.222-37, Employment Reports on Veterans, the Contractor shall submit the Federal Contractor Report on Veterans' Employment (VETS-100) as required by this clause.

7. Information Technology (IT) Security Management Plan – The Contractor shall submit the IT Security Plan required by contract clause NFS 1852.204-76 Security Requirements for Unclassified Information Technology Resources (October 2009 PIC 09-14/Deviation) for Contracting Officer approval no later than 30 days after contract award.

8. Annual IT Security Training Report - The purpose of this report is to obtain confirmation that IT security training for contractor employees required under paragraph (e) of NFS clause 1852.204-76 Security Requirements for Unclassified Information Technology Resources (October 2009 PIC 09-14/Deviation), has been completed by all individuals required to do so. NASA requires that this annual training be completed by 100% of the appropriate employees no later than June 1st of each year. Accordingly, a report that includes the information listed below shall be submitted to the CO no later than June 1st of each calendar year, so long as the period of performance of the contract has not expired prior to June 1st.

Report Content: (1) the number of employees requiring IT security training in accordance with the contract clause (i.e., in accordance with NPR 2810.1, Security of Information Technology, which requires such training for all "employees who have access to NASA computer systems and networks that process, store, or transmit information"); (2) the number of those employees in item (1) that have completed the annual training as of June 1st; (3) whether the NASA on-line training system was used (use of the NASA on-line system is optional); and (4) a plan of action with milestones to reach 100% in item (2) if that level has not been achieved by June 1st.

9. Subcontracting Reports -

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/>

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 under paragraph of this section entitled: II. Document Distribution Requirements.

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

10. Quality Plan - The Contractor shall submit a quality plan that addresses how the contract quality requirements will be met.

11. Quality System Documents (ISO 9001, AS9100) - The Contractor shall submit the following ISO 9001 documents in accordance with H.7, ISO 9001 Quality Management System Certification/Registration Requirements (Non-certified at award), if applicable, no later than nine months after the effective date of contract:

- a. Quality System Manual
- b. Quality System Procedures - These procedures shall address:

(1) contract and subcontract management, (2) customer requirement review and execution, (3) task management, including work order generation and processing, (4) document control, (5) handling of customer supplied product, (6) corrective, preventive, and continuing improvement action systems, (7) training of employees, (8) customer satisfaction/performance measurement and (9) design control.

The contractor shall submit any updates to its ISO 9001 compliance status within 30 days of the change in status.

NOTE: If certification or registration to the current ANSI/ISO/ASQC Q ISO 9001 has been achieved, a copy of the ISO 9001 Certification/Registration certificate shall be submitted for review and acceptance within 10 days of contract award.

The following reports (12-14) are only applicable to small businesses and nonprofit organizations:

12. *Interim Patent Rights Report* - After the first anniversary date of the contract, the Contractor shall submit an annual list of all subject inventions to be disclosed as set forth in FAR 52.227-11 Patent Rights--Retention by the Contractor (Short Form) (as modified by 1852.227-11 Patent Rights--Retention by the Contractor (Short Form)).

13. *Final Patent Rights Report* - The Contractor shall submit a listing of all subject inventions or certify that there were none as set forth in FAR 52.227-11 Patent Rights--Retention by the Contractor (Short Form) (as modified by 1852.227-11 Patent Rights--Retention by the Contractor (Short Form)). This report is due prior to contract closeout.

14. *Invention Disclosure Reporting* - The Contractor shall disclose each subject invention under the contract as set forth in FAR 52.227-11 Patent Rights--Retention by the Contractor (Short Form) (as modified by 1852.227-11 Patent Rights--Retention by the Contractor (Short Form)). 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.

The following reports (15-17) are only applicable to large businesses:

15. *Interim New Technology Report* - After the first anniversary date of the contract, 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 the NFS clause 1852.227-70 New Technology, clause have been followed.

16. *Final New Technology Report* - The Contractor shall submit a list of subject inventions or certify that that there were no such subject inventions, and list all subcontracts at any tier containing a patent rights clause or certify that there were no such subcontracts as set forth in NFS 1852.227-70 New Technology. This report is due within 3 months after completion of the contracted work.

17. *Invention Disclosure Reporting* - 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.

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:

NASA Langley Research Center
Attn: **TBD**, Mail Stop
Contract NNL11**TBD**
Hampton, VA 23681-2199

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:

1. A--Contract Specialist, Mail Stop 12
2. **B--Contracting Officer Technical Representative (COTR), Mail Stop**
3. C--Technical Monitor (TM), Mail Stop #TBD
4. D--New Technology Representative: COTR see number 2 above
5. E--Financial Management, LaRC-DL-NF533@mail.nasa.gov
6. F-- Patent Counsel, Mail Stop 30
7. G--Industrial Property Officer, Mail Stop 377
8. H--Center Information Technology Security Manager (CITSM), Mail Stop 164
9. I--Reserved
10. J--According to instructions on form
11. K--As required by Task Order
12. L-- Langley Management System Project Office, Mail Stop 438
13. M--Center STI Publication Manager, Mail Stop 196

C. The following are the distribution requirements for reports and other documentation required to be delivered f.o.b. destination. **All reports and other documentation shall be submitted electronically unless otherwise instructed. Submittal “days” means calendar days unless otherwise specified.** The numeral following the letter code specifying the number of copies to be provided:

DOC. No.	DOCUMENT	SUBMIT TO NASA	LETTER CODE/ DISTRIBUTION
1	Monthly Financial Management Report (NF 533M)	NLT 10 th working day following close of Contractors acting period being reported	A-1, B-1, C-1, E-1
2	Monthly Technical Letter Progress Report	NLT 10 th working day following close of Contractors acting period being reported	A-1, B-1, C-1, K-1
3	Quarterly Progress Report	NLT 10 th working day following close of Contractors acting period being reported	A-1, B-1, C-1, K-1
4	Final Reports	As required	K-1, M-1
5	NASA Property in the Custody of Contractors (NF 1018)	NLT October 15 th of each year, IAW NFS clause 1852.245-73	G-1
6	Federal Contractor Report on Veterans' Employment (VETS-100)	IAW FAR 52.222-37	J
7	Information Technology (IT) Security Management Plan	NLT 30 days after contract award	A-1, B-1, M-1
8	Annual IT Security Training Report	Annually: NLT June 30th	A-1, B-1, M-1
9	Subcontracting Report	Semiannually: NLT 30 days after the close of each reporting period, IAW NFS clause 1852.219-75	J
10	Quality Plan	NLT 30 days after effective date of contract	A-1, B-1, L-1
11	Quality System Documents	NLT 9 months after effective date of contract	A-1, B-1, L-1
12	Interim Patent Rights Report	Annually, IAW NFS 1852.227-70 (New Technology)	A-1, B-1, D-1, F-1
13	Final Patent Rights Report	Within 3 months of completion of contracted work	A-1, B-1, D-1, F-1
14	Invention Disclosure Report (small business & non-profit)	As required, IAW FAR Clause 52.227-11 and NFS Clause 1852.227-11	A-1, B-1, D-1, F-1
15	Interim New Technology Report	Annually, IAW NFS 1852.227-70 (New Technology)	A-1, B-1, D-1, F-1
16	Final New Technology Report	Within 3 months of completion of contracted work	A-1, B-1, D-1, F-1

17	Invention Disclosure Report (large business)	As required, IAW FAR Clause 52.227-11 and NFS Clause 1852.227-11	A-1, B-1, D-1, F-1
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D. When the 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 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.