Contract Documentation Requirements

I. REQUIRED REPORTS

A. Initial Baseline Financial Management Report

1. The Contractor shall prepare a time-phased Baseline Financial Management Report, detailing by month how it plans to incur costs for the base period of performance utilizing the NASA Form 533Q format. The Contractor shall prepare and submit the report in accordance with instructions set forth on the reverse side of the 533Q Form and NASA Procedural Requirements (NPR) 9501.2E, NASA Contractor Financial Management Reporting. The Contractor shall submit the initial 533Q within 30 working days after the effective date of contract.

2. The Contractor shall submit a Baseline Financial Management Report for each option period within 30 working days after the effective date of the option period. The total estimated cost reflected in the reports must equal the contract value. The Contractor shall update the report, as required, during performance of the contract for approval by the Contracting Officer. The report shall be revised each time a contract modification is executed which increases or decreases the contract estimated cost, for a reason other than an overrun. The report shall not be revised to include overrun costs.

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

   a. Direct Labor Hours

   b. Direct Labor Dollars

   c. Overhead(s)

   d. Subcontract

   e. Material

   f. Travel

   g. Other Direct Cost

   h. G&A

   i. Total Estimated Cost

   j. Fee

   j. Total Estimated Cost and Fee

B. Monthly Financial Management Report

1. The Contractor shall submit a Monthly Financial Management Report in accordance with NFS clause 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.

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

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

4. 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.

5. The Contractor shall report costs on the basis of the contractor's most current data for actual rates experienced at the time the report is prepared, rather than on the basis of Defense Contract Audit Agency (DCAA) approved provisional billing or bidding rates. In addition, the Contractor shall make adjustments as needed for actual cost experience to reflect rates reported in its final indirect cost rate proposal submitted after the end of each of its fiscal years in accordance with paragraph (d) of FAR 52.216-7, Allowable Cost and Payment. The Contractor shall explain in the footnotes on the 533M report any adjustments made for actual rates as determined by the Contractor in its annual final indirect cost rate proposal.

6. 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, e.g., 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.

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

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

   a. Direct Labor Hours

   b. Direct Labor Dollars

   c. Overhead(s)

   d. Subcontract

   e. Material

   f. Travel

   g. Other Direct Cost

   h. G&A

i. Total Estimated Cost

j. Fee

j. Total Estimated Cost and Fee

C. Quarterly Financial Management Report

The Contractor shall submit a quarterly financial report at the contract level as specified in A. above, on NASA Form 533Q at times and in accordance with the instructions contained on the reverse side of the form.

D. Monthly Progress Report

The Contractor shall submit monthly progress reports 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 shall submit the monthly progress report 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.

E. Contractor Monthly Accident/Incident Reports

The Contractor shall submit monthly man-hours, headcount and accident/incident data for the prime and the subcontractor to the LaRC Safety and Facility Assurance Branch (SFAB) within 10 working days after the end of each month. The Contractor shall submit this data via the web-based system entitled Contractor Monthly Accident Reporting (CMAR) located at https://cmar.larc.nasa.gov/login.cfm. If the Contractor is unable to submit its information electronically via CMAR, then the Contractor shall submit Langley Form 272 to SFAB at Mail Stop 305. The Contractor shall also submit an annual summary of occupational injuries and illnesses to the Occupational Safety and Health Administration (OSHA) as described in 29 CFR Part 1904.32

F. Accident/Incident Investigation Reports

The Contractor shall notify SFAB of any accident/incident as soon as practical but no later than 2 hours following occurrence. The Contractor shall submit a written accident/incident investigation report within 3 business days of occurrence.

G. Notice of Violation Response

The Contractor shall respond to any Notice of Violation (NOV) issued for safety violations to the prime and/or its subcontractors. The response shall include the cause for violation; mitigation of impact, if applicable; and planned prevention of recurrence. The Contractor shall submit the response to the issuer of the NOV and SFAB within three working days of issuance.

H. Safety and Health Plan

The Contractor shall submit a Safety and Health Plan within 30 calendar days of contract award. Per 1852.223-70(j) of the contract, 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 calendar days after the effect of a change or incident. (See Attachment 6 for additional instructions).

I. Information Technology (IT) Security Management Plan

1. 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 calendar days after contract award date for review and approval by the Center Information Security Officer (CISO).

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

   a. Identify how the requirements for IT security (including developing and maintaining IT system security plans, contingency plans, and performing information system security assessment).
   b. Identify how the requirements for which NASA directives specifically mandate compliance with respect to security of NASA IT resources will be met.
   c. Describe how the Contractor intends to hold its employees and subcontractors accountable for meeting all the requirements relative to 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/ .
   d. Describe how the Contractor will meet future or changing IT security requirements as directed by Federal Law or NASA requirements.
   e. Describe how the Contractor plans to protect its corporate IT resources to ensure that they pose no adverse impact on NASA resources.
   f. Describe how the Contractor will protect NASA or contract-specific information and data under its control.
   g. Describe how the Contractor plans to provide documentation for any required IT security-related deliverable.
   h. Describe how the Contractor will ensure compliance with all NASA IT security training and awareness requirements.
   i. Describe how the Contractor will ensure compliance with NASA-established physical security requirements as they relate to IT security requirements.
   j. Describe how the Contractor will ensure compliance with personnel screening requirements including assurance that employees with privileged access have the appropriate background screening.
   k. 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.

2. The IT Security Management Plan shall be updated as required by changes in the Federal Law or other NASA regulations.

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

   a. 44 U.S.C. §§ 3541-3549, Federal Information Security Management Act (FISMA)

b. NPD 1600.2, NASA Security Policy
c. NPD 2810.1, NASA Information Security Policy
d. NPR 1600.1, NASA Security Program Procedural Requirements
e. NPR 1620.2, Physical Security Vulnerability Risk Assessments
f. NPR 2810.1, Security of Information Technology
g. NIST Special Publication (SP) 800-18, Guide for Developing Security Plans for Federal Information Systems
h. NIST Special Publication (SP) 800-35, Guide to IT Security Services
i. NIST SP 800-36, Guide to Selecting Information Technology Security Products
j. NIST SP 800-64, Security Considerations in the System Development Life Cycle

J. Annual Information Technology (IT) Security Training Requirements

In accordance with NFS 1852.204-76, Security Requirements for Unclassified Information Technology Resources, all Contractor personnel requiring physical or logical access to NASA IT resources must complete NASA's annual on-line IT Security Awareness training by June 30. The Contractor shall submit an annual IT Security Training Report which confirms that required IT security training has been completed by all individuals. This report shall be completed by July 10th of each year.

The report shall include the following content: (1) the number of employees requiring IT security training; (2) the percentage of those employees in item (1) that have completed the annual training; and (3) a plan of action with milestones to reach 100% in item (2) if that level has not been achieved by June 30.

K. Documentation for Transferring Property to the Government

In accordance with the NFS 1852.245-71, Installation-Accountable Government Property, accountability for that property which is acquired for the Government under this contract shall be passed to the Government using the following procedure:

The transfer of accountability shall be initiated by the Contractor submitting a Requisition and Invoice/Shipping Document, DD Form 1149, accompanied by a copy of the Contractor's applicable purchasing and receipt document for the property. The Contractor shall insert both the Contractor's Subcontract/ Purchase Order number and the Government contract number on the DD Form 1149 under the Federal Stock Number, Description, and Coding of Material and/or Services block. For purchases of supplies and materials, this document shall be submitted within 30 calendar days after the end of each calendar-year quarter (that is, not later than January 30, April 30, July 30, and October 30). For equipment purchases, the DD Form 1149 shall be submitted within five working days after acceptance of each item of equipment by the Contractor. Receipt by the Contractor of a copy of the DD Form 1149 signed by the Government relieves the Contractor of accountability for the property specified on that form.

L. Subcontracting Reports

1. 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/

2. 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.

3. In addition to the above, the Contractor is required to comply with FAR Clause 52.219-9 (Deviation), Small Business Subcontracting Plan.

M. ISO 9001 Compliance Documents

a) Within 14 calendar days after the contract award date, 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, and (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.

N. Employment Reports on Veterans

The Contractor shall submit a Veterans' Employment Reports (VETS-4212 Report) as required by Clause 52.222-37, Employment Reports Veterans. Within 30 calendar days following the VETS-4212 Report submission, the Contractor shall submit a letter to the Contracting Officer confirming that it has submitted the most recent annual VETS-4212 Report required by FAR 52.222.37.

O. Evidence of Insurance

The Contractor shall submit evidence of the insurance coverage required by NFS 1852.228-75, Minimum Insurance Coverage (i.e., a Certificate of Insurance or other confirmation) to the Contracting Officer prior to performing under this contract. The Contractor shall also present such evidence to the Contracting Officer prior to commencement of performance under any options exercised, if applicable.

P. Interim New Technology Report

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.

Q. Final New Technology Report

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. Contractors shall submit Final New Technology Reports directly to the following website: https://invention.nasa.gov.

R. 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.

S. On and Near-Site Staffing Report

The Contractor shall submit a report which includes the number of on-site and near- site Work Year Equivalents (WYE's) performing work on the contract, broken down by skill category. An initial report shall be submitted within 30 calendar days from the effective date of the contract. Subsequent updated reports are due quarterly, within the first 5 work day after the end of the quarter (e.g. on or before the 5th workday in January, April, July and October of each year).

These reports shall be e-mailed to the following:
larc-dl-contractorwye@mail.nasa.gov
The subject line for the e-mail should be "Contractor WYE".

"On-site" WYE's include the time worked by prime Contractor and subcontractor employees on this contract whose primary duty station is on-site at Langley Research Center, whether such employees charge direct or indirect in the Contractor's or subcontractor's accounting systems (e.g., management and administrative staff may charge their time to an "indirect" account, but the time worked by such individuals shall still be counted in the on-site WYE).

"Near-site" WYE's include the time worked by prime Contractor and subcontractor employees on this contract whose primary duty station is within 50 miles of LaRC, whether such employees charge direct or indirect in the Contractor's or subcontractor's accounting systems. Work performed on local college campuses shall not be considered "near site" WYE's.

The Contractor shall use the number of hours in its productive work year to compute the number of WYE's to be reported. For example, if the Contractor’s standard work-year is 1,860 productive hours (excludes leave, holidays, etc.), the quarterly WYE reported would be calculated as the total labor hours for the quarter divided by the available productive hours in the quarter (in this example 1,860 annual productive hours divided by 4 quarters yields 465 hours). Thus, if 10,000 hours were incurred on the contract during the quarter the WYE would be (10,000/465 = 21.5 WYE). The Contractor shall break out the On-site and Near-site WYE by skill category using the following categories: Scientist, engineer, technician, administrative professional, and clerical.

T. EPA-Designated Categories Annual Purchasing Report

In accordance with FAR 52.223-17, Affirmative Procurement of EPA-Designated Items in Service and Construction Contracts, the Contractor shall submit an annual Purchasing Report detailing the total amounts of EPA-designated categories and products procured and used in performance of this contract during the preceding fiscal year period. The annual Purchasing Report is due by October 31st for purchases during the preceding fiscal year period (October 1 through September 30). If the contract ends prior to October 31st, the annual Purchasing Report is due at the end of the contract period of performance. After contract award, the Contractor will be granted access to this reporting template at http://emis/ap.htm.

U. Organizational Conflicts of Interest (OCI) and Personal Conflicts of Interest (COI) Avoidance Plan - The Contractor shall provide a plan for complying with the requirements of Section H.12, Organizational Conflicts of Interest. The Contractor shall explain its approach to identifying, mitigating and/or avoiding OCIs and 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, proprietary, or export controlled data; (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; (vi) the Contractor's approach for identifying, mitigating and/or avoiding personal COIs for employees performing work under the contract, and (vii) the approach for ensuring the processes and procedures included herein will be applied to each of its subcontractors and/or consultants (including their respective Business Units).

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.

V. Official Deliverables: The Contractor shall provide to the COR, all required source codes and all supporting documentation as to whether Commercial-Off-The-Shelf (COTS), Government-Off-The-Shelf (GOTS), Modified-Off-The-Shelf (MOTS), reused, or open-source software will be included in code developed for the government explaining the use and outcomes of source codes developed under this contract. All official deliverable requirements shall flow down to all levels of software supplier.

II. DOCUMENT DISTRIBUTION REQUIREMENTS

(a) Unless otherwise specified elsewhere in this contract, the Contractor shall submit reports and other documentation f.o.b. destination as specified below, addressed as follows:

National Aeronautics and Space Administration Langley Research Center
Attn: _____, Mail Stop #, Contract NNL1#,
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:

A - Contract Specialist, Mail Stop 12

B - Contracting Officer's Representative, Mail Stop 125B

C - Not Applicable

D - Financial Management, LaRC-DL-NF533@mail.nasa.gov

E - Safety and Facility Assurance Branch, Mail Stop 305 or fax 757-864-8918 or CMAR http://cmar.larc.nasa.gov/login.cfm

G - Patent Counsel, https://invention.nasa.gov

I - Industrial Property Officer, susan.c.tillman@nasa.gov

J - Small Business Specialist, randy.a.manning@nasa.gov

K - Center Information Technology Security Manager (CITSM), kendall.e.freeman@nasa.gov; stephanie.j.stockum@nasa.gov

L - According to instructions on form

M - Not Applicable

N - Not Applicable

O - Langley Management System Project Office, Mail Stop 10

P - Reserved

Q - On and Near-Site Staffing Report, larc-dl-contractorwye@mail.nasa.gov with "Contractor WYE" in subject line

R - Standard Practice and Environmental Engineering Branch (SPEEB), Mail Stop 133

S - New Technology Representative, michelle.a.dail@nasa.gov

(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:

LETTER CODE AND DOCUMENT DISTRIBUTION

A - Initial Baseline Financial Management Report: A-1, B-1, D-1

B - Monthly Financial Management Report: A-1, B-1, D-1

C - Quarterly Financial Management Report: A-1, B-1, D-1

D - Monthly Progress Report: A-1, B-1

E - Contractor Monthly Accident/Incident Reports: E-1

F - Accident/Incident Safety Reports: E-1

G - Notice of Violation Responses: E-1, issuer of NOV

H - Safety and Health Plan: A-1, B-1, E-1

I - Information Technology (IT) Security Management Plan: A-1, B-1, K-1

J - Annual IT Security Training Report: A-1, B-1, K-1

K - Documentation for Transferring Property to the Government: I-1

L - Subcontracting Reports: A-1, J-1

M - ISO 9001 Compliance Documents: A-1, B-1, O-1

N - Federal Contractor Veterans Employment Report (VETS-100): A-1, L

O - Evidence of Insurance: A-1

P - Interim New Technology Report: A-1, B-1, H-1, S-1

Q - Final New Technology Report: A-1, B-1, H-1, S-1

R - Intervention Disclosure Reporting: A-1, B-1, H-1, S-1

S - On and Near-Site Staffing Report: A-1, Q-1

T - EPA-Designated Categories Annual Purchasing Report: A-1, R-1

U - Organizational OCI Avoidance Plan: A-1, B-1

V - Official Deliverables: B-1

(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.