

AMENDMENT OF SOLICITATION/MODIFICATION OF CONTRACT		1. Contract ID Code 12	Page 1	Pages 2
2. AMENDMENT/MODIFICATION NO. 14	3. EFFECTIVE DATE See Block 16C	4. REQUISITION/PURCHASE REQ. NO. N/A	5. PROJECT NO. (If applicable)	
6. ISSUED BY CODE	PS52/MMC	7. ADMINISTERED BY (If other than Item 6) CODE	PS52/MMC	
Procurement Office George C. Marshall Space Flight Center National Aeronautics and Space Administration Marshall Space Flight Center, AL 35812		Lynn P. Southgate Ph.: 256-544-0303 Fax: 256-544-2013 Email: Lynn.P.Southgate@nasa.gov AUTOMATED INVOICE PAYMENT INFORMATION: (256) 544-5566		

8. NAME AND ADDRESS OF CONTRACTOR (No., street, county, State, and Zip Code)		(x)	9A. AMENDMENT OF SOLICITATION NO.
Hernandez Engineering, Inc. 17625 El Camino Real, Suite 300 Houston, TX 77058			9B. DATED (SEE ITEM 11)
		X	10A. MODIFICATION OF CONTRACT/ORDER NO. NNM07AA74C
			10B. DATED (SEE ITEM 13) 01/12/07
CODE	SAP ID# 100289	FACILITY CODE	CAGE 2Y303

11. THIS ITEM ONLY APPLIES TO AMENDMENTS OF SOLICITATIONS

The above numbered solicitation is amended as set forth in Item 14. The hour and date specified for receipt of Offers is extended, is not extended. Offers must acknowledge receipt of this amendment prior to the hour and date specified in the solicitation or as amended, by one of the following methods:

(a) By completing Items 8 and 15, and returning 1 copies of the amendment; (b) By acknowledging receipt of this amendment on each copy of the offer submitted; or (c) By separate letter or telegram which includes a reference to the solicitation and amendment numbers. FAILURE OF YOUR ACKNOWLEDGMENT TO BE RECEIVED AT THE PLACE DESIGNATED FOR THE RECEIPT OF OFFERS PRIOR TO THE HOUR AND DATE SPECIFIED MAY RESULT IN REJECTION OF YOUR OFFER. If by virtue of this amendment you desire to change an offer already submitted, such change may be made by telegram or letter, provided each telegram or letter makes reference to the solicitation and this amendment, and is received prior to the opening hour and date specified.

12. ACCOUNTING AND APPROPRIATION DATA (If required)
N/A

13. THIS ITEM APPLIES ONLY TO MODIFICATIONS OF CONTRACTS/ORDERS, IT MODIFIES THE CONTRACT/ORDER NO. AS DESCRIBED IN ITEM 14.

(x)	A. THIS CHANGE ORDER IS ISSUED PURSUANT TO: (Specify authority) THE CHANGES SET FORTH IN ITEM 14 ARE MADE IN THE CONTRACT ORDER NO. IN ITEM 10A.
	B. THE ABOVE NUMBERED CONTRACT/ORDER IS MODIFIED TO REFLECT THE ADMINISTRATIVE CHANGES (such as changes in paying office, appropriation date, etc.) SET FORTH IN ITEM 14, PURSUANT TO THE AUTHORITY OF FAR 43.103(b).
X	C. THIS SUPPLEMENTAL AGREEMENT IS ENTERED INTO PURSUANT TO AUTHORITY OF: FAR 52.243-2 ; September 4, 2007, letter from MSFC Contracting Officer; January 18, 2008 letter from MSFC Procurement Officer
	D. OTHER (Specify type of modification and authority)

E. IMPORTANT: Contractor is not, is required to sign this document and return 3 copies to the issuing office.

	MAXIMUM QUANTITY (ref. Clause B-1, Table B-1)			TASK ORDER CUMULATION (ref. Clause B.2, Table B-2)			Total Funding Allotted
	Total Potential Estimated	Total Potential	Total Potential Contract Value	Estimated Cost	Estimated Award Fee	Total Task Order Values	
	Cost	Award Fee					
Previous	(b)(4)		\$66,943,044	\$0	\$0	\$0	\$30,441,602
This Mod			\$0	\$0	\$0	\$0	\$0
New Total			\$66,943,044	\$0	\$0	\$0	\$30,441,802

Except as provided herein, all terms and conditions of the document referenced in Item 9A or 10A, as heretofore changed, remains unchanged and in full force and effect.

15A. NAME AND TITLE OF SIGNER (Type or print) Randall S. Reed Program Manager	16A. NAME AND TITLE OF CONTRACTING OFFICER (Type or print) Lynn P. Southgate Contracting Officer
15B. CONTRACTOR/OFFEROR ORIGINAL SIGNED BY RANDALL S. REED (Signature of person authorized to sign)	16B. UNITED STATES OF AMERICA ORIGINAL SIGNED BY LYNN P. SOUTHGATE (Signature of Contracting Officer)
15C. DATE SIGNED 03/27/2008	16C. DATE SIGNED 03/27/2008

The purpose of this modification is to officially incorporate revised NASA FAR Supplement (NFS) 1852.204-76 (May 2007), Security Requirements for Unclassified Information Technology Resources, an updated Data Procurement Document, and an updated Statement of Work into the contract. This modification also changes the address of the NASA Designated Billing and Paying Offices from the Marshall Space Flight Center’s Financial Management Office to the NASA Shared Services Center. As a result, the following changes are made with no additional cost to the Government:

- A. The address contained in Block 12 of the Standard Form 26 is hereby deleted in its entirety and the following substituted therefor:

NASA Shared Services Center (NSSC)
Financial Management Division (FMD) – Accounts Payable
Bldg. 1111, C. Road
Stennis Space Center, MS 39529

- B. Clause G.2. is amended to reflect the change in payment office described in Item 1, above.
- C. 1852.204-76, Security Requirements for Unclassified Information Technology Resources (NOV 2004), is hereby deleted from Section I.4 in its entirety and 1852.204-76, Security Requirements for Unclassified Information Technology Resources (MAY 2007), is substituted therefor.
- D. Attachment J-1 is revised to reflect the changes to Attachment J-2. “The contractor shall prepare the information Technology Security Plan(s) in accordance with DRD1107CD-001” is hereby deleted from paragraph 7.6 of Attachment J-1 (Modification 4), Performance Work Statement.
- E. The Attachment J-2 Data Procurement Document No. 1107 Revision A, dated July 12, 2007, is hereby replaced in its entirety by the Attachment J-2 Data Procurement Document No. 1107 Revision B dated March 26, 2008, which eliminates DRD 1107CD-001 in its entirety.
- F. In order to reflect the changes resulting from this modification, the page(s) listed below are added or deleted from the contract as shown. In order to indicate the specific areas(s) of change, vertical lines are shown in the right margin of the attached replacement page(s).

<u>Item(s) Changed</u>	<u>Page(s) Deleted</u>	<u>Page(s) Added</u>
G.2 1852.216-87, Submission of Vouchers for Payment	G-1 (Basic Award)	G-1 (Mod 14)
I.4 1852.204-76, Security Requirements for Unclassified Information Technology Resources	I-5 thru I-8 (Basic Award)	I-5 thru I-8 (Mod 14)
Attachment J-1, Performance Work Statement	J-1-25 (Basic Award)	J-1-25 (Modification 14)
Attachment J-2, Data Procurement Document No. 1107	J-2-1 thru J-2-29 (Modification 4)	J-2-1 thru J-2-33 (Modification 14)

- G. All other terms and conditions remain unchanged in full force and effect.

SECTION G**CONTRACT ADMINISTRATION DATA****G.1 LISTING OF CLAUSES INCORPORATED BY REFERENCE****I. Federal Acquisition Regulation (48 CFR Chapter 1)**

<u>Clause Number</u>	<u>Title</u>	<u>Date</u>
None included by reference.		

II. NASA FAR Supplement (48 CFR Chapter 18) Clauses

<u>Clause Number</u>	<u>Title</u>	<u>Date</u>
1852.242-71	Travel Outside of the United States	Dec 1988
1852.242-73	NASA Contractor Financial Management Reporting	Nov 2004

(End of Clause)

G.2 SUBMISSION OF VOUCHERS FOR PAYMENT (1852.216-87) (MAR 1998)

- (a) The designated billing office for cost vouchers for purposes of the Prompt Payment clause of this contract is indicated below. Public vouchers for payment of costs shall include a reference to the number of this contract.
- (b) (1) If the Contractor is authorized to submit interim cost vouchers directly to the NASA paying office, the original voucher should be submitted to:

NASA Shared Services (NSSC)

Financial Management Division (FMD) – Accounts Payable
Building 1111, C, Road
Stennis Space Center, MS 39529

- (2) For any period that the Defense Contract Audit Agency (DCAA) has authorized the Contractor to submit interim cost vouchers directly to the Government paying

I.2 MSFC 52.252-90 REPRESENTATIONS, CERTIFICATIONS, AND OTHER STATEMENTS OF OFFERORS OR QUOTERS INCORPORATED BY REFERENCE (FEB 2001)

The Representations, Certifications, and Other Statements of Offerors or Quoters (Section K of the solicitation document) as completed by the Contractor are hereby incorporated in their entirety by reference, with the same force and effect as if they were given in full text.

(End of Clause)

I.3 1852.204-75 SECURITY CLASSIFICATION REQUIREMENTS (SEP 1989)

Performance under this contract will involve access to and/or generation of classified information, work in a security area, or both, up to the level of “Secret”. See Federal Acquisition Regulation clause 52.204-2 in this contract and DD Form 254, Contract Security Classification Specification, Attachment J-12

(End of Clause)

I.4 1852.204-76 SECURITY REQUIREMENTS FOR UNCLASSIFIED INFORMATION TECHNOLOGY RESOURCES (MAY 2007)

- (a) The Contractor shall be responsible for information and information technology (IT) security when –
- (1) The Contractor or its subcontractors must obtain physical or electronic (i.e., authentication level 2 and above as defined in National Institute of Standards and Technology (NIST) Special Publication (SP) 800-63, Electronic Authentication Guideline) access to NASA's computer systems, networks, or IT infrastructure; or
 - (2) Information categorized as low, moderate, or high by the Federal Information Processing Standards (FIPS) 199, Standards for Security Categorization of Federal Information and Information Systems is stored, generated, processed, or exchanged by NASA or on behalf of NASA by a contractor or subcontractor, regardless of whether the information resides on a NASA or a contractor/subcontractor's information system.
- (b) IT Security Requirements.
- (1) Within 30 days after contract award, a Contractor shall submit to the Contracting Officer for NASA approval an IT Security Plan, Risk Assessment, and FIPS 199, Standards for Security Categorization of Federal Information and Information Systems, Assessment. These plans and assessments, including annual updates shall be incorporated into the contract as compliance documents.
 - (i) The IT system security plan shall be prepared consistent, in form and content, with NIST SP 800-18, Guide for Developing Security Plans for Federal Information Systems, and any additions/augmentations described in NASA Procedural Requirements (NPR) 2810, Security of Information Technology. The security plan shall identify and document appropriate IT security controls consistent with the sensitivity of the information and the requirements of Federal Information Processing Standards (FIPS) 200, Recommended Security Controls for Federal Information Systems. The plan shall be reviewed and updated in accordance with NIST SP 800-26, Security Self-Assessment Guide for Information Technology Systems, and FIPS 200, on a yearly basis.
 - (ii) The risk assessment shall be prepared consistent, in form and content, with NIST SP 800-30, Risk Management Guide for Information Technology Systems, and any additions/augmentations described in NPR 2810. The risk assessment shall be updated on a yearly basis.
 - (iii) The FIPS 199 assessment shall identify all information types as well as the “high water mark,” as defined in FIPS 199, of the processed, stored, or transmitted information necessary to fulfill the contractual requirements.

(2) The Contractor shall produce contingency plans consistent, in form and content, with NIST SP 800-34, Contingency Planning Guide for Information Technology Systems, and any additions/augmentations described in NPR 2810. The Contractor shall perform yearly “Classroom Exercises.” “Functional Exercises,” shall be coordinated with the Center CIOs and be conducted once every three years, with the first conducted within the first two years of contract award. These exercises are defined and described in NIST SP 800-34.

(3) The Contractor shall ensure coordination of its incident response team with the NASA Incident Response Center (NASIRC) and the NASA Security Operations Center, ensuring that incidents are reported consistent with NIST SP 800-61, Computer Security Incident Reporting Guide, and the United States Computer Emergency Readiness Team’s (US-CERT) Concept of Operations for reporting security incidents. Specifically, any confirmed incident of a system containing NASA data or controlling NASA assets shall be reported to NASIRC within one hour that results in unauthorized access, loss or modification of NASA data, or denial of service affecting the availability of NASA data.

(4) The Contractor shall ensure that its employees, in performance of the contract, receive annual IT security training in NASA IT Security policies, procedures, computer ethics, and best practices in accordance with NPR 2810 requirements. The Contractor may use web-based training available from NASA to meet this requirement.

(5) The Contractor shall provide NASA, including the NASA Office of Inspector General, access to the Contractor’s and subcontractors’ facilities, installations, operations, documentation, databases, and personnel used in performance of the contract. Access shall be provided to the extent required to carry out IT security inspection, investigation, and/or audits to safeguard against threats and hazards to the integrity, availability, and confidentiality of NASA information or to the function of computer systems operated on behalf of NASA, and to preserve evidence of computer crime. To facilitate mandatory reviews, the Contractor shall ensure appropriate compartmentalization of NASA information, stored and/or processed, either by information systems in direct support of the contract or that are incidental to the contract.

(6) The Contractor shall ensure that system administrators who perform tasks that have a material impact on IT security and operations demonstrate knowledge appropriate to those tasks. Knowledge is demonstrated through the NASA System Administrator Security Certification Program. A system administrator is one who provides IT services (including network services, file storage, and/or web services) to someone other than themselves and takes or assumes the responsibility for the security and administrative controls of that service. Within 30 days after contract award, the Contractor shall provide to the Contracting Officer a list of all system administrator positions and personnel filling those positions, along with a schedule that ensures certification of all personnel within 90 days after contract award. Additionally, the Contractor should report all personnel changes which impact system administrator positions within 5 days of the personnel change and ensure these individuals obtain System Administrator certification within 90 days after the change.

(7) The Contractor shall ensure that NASA’s Sensitive But Unclassified (SBU) information as defined in NPR 1600.1, NASA Security Program Procedural Requirements, which includes privacy information, is encrypted in storage and transmission.

(8) When the Contractor is located at a NASA Center or installation or is using NASA IP address space, the Contractor shall --

(i) Submit requests for non-NASA provided external Internet connections to the Contracting Officer for approval by the Network Security Configuration Control Board (NSCCB);

(ii) Comply with the NASA CIO metrics including patch management, operating systems and application configuration guidelines, vulnerability scanning, incident reporting, system administrator certification, and security training; and

(iii) Utilize the NASA Public Key Infrastructure (PKI) for all encrypted communication or non-repudiation requirements within NASA when secure email capability is required.

(c) Physical and Logical Access Requirements.

(1) Contractor personnel requiring access to IT systems operated by the Contractor for NASA or interconnected to a NASA network shall be screened at an appropriate level in accordance with NPR 2810 and Chapter 4, NPR 1600.1, NASA Security Program Procedural Requirements. NASA shall provide screening, appropriate to the highest risk level, of the IT systems and information accessed, using, as a minimum, National Agency Check with Inquiries

(NACI). The Contractor shall submit the required forms to the NASA Center Chief of Security (CCS) within fourteen (14) days after contract award or assignment of an individual to a position requiring screening. The forms may be obtained from the CCS. At the option of NASA, interim access may be granted pending completion of the required investigation and final access determination. For Contractors who will reside on a NASA Center or installation, the security screening required for all required access (e.g., installation, facility, IT, information, etc.) is consolidated to ensure only one investigation is conducted based on the highest risk level. Contractors not residing on a NASA installation will be screened based on their IT access risk level determination only. See NPR 1600.1, Chapter 4.

(2) Guidance for selecting the appropriate level of screening is based on the risk of adverse impact to NASA missions. NASA defines three levels of risk for which screening is required (IT-1 has the highest level of risk).

(i) IT-1 -- Individuals having privileged access or limited privileged access to systems whose misuse can cause very serious adverse impact to NASA missions. These systems include, for example, those that can transmit commands directly modifying the behavior of spacecraft, satellites or aircraft.

(ii) IT-2 -- Individuals having privileged access or limited privileged access to systems whose misuse can cause serious adverse impact to NASA missions. These systems include, for example, those that can transmit commands directly modifying the behavior of payloads on spacecraft, satellites or aircraft; and those that contain the primary copy of "level 1" information whose cost to replace exceeds one million dollars.

(iii) IT-3 -- Individuals having privileged access or limited privileged access to systems whose misuse can cause significant adverse impact to NASA missions. These systems include, for example, those that interconnect with a NASA network in a way that exceeds access by the general public, such as bypassing firewalls; and systems operated by the Contractor for NASA whose function or information has substantial cost to replace, even if these systems are not interconnected with a NASA network.

(3) Screening for individuals shall employ forms appropriate for the level of risk as established in Chapter 4, NPR 1600.1.

(4) The Contractor may conduct its own screening of individuals requiring privileged access or limited privileged access provided the Contractor can demonstrate to the Contracting Officer that the procedures used by the Contractor are equivalent to NASA's personnel screening procedures for the risk level assigned for the IT position.

(5) Subject to approval of the Contracting Officer, the Contractor may forgo screening of Contractor personnel for those individuals who have proof of a --

(i) Current or recent national security clearances (within last three years);

(ii) Screening conducted by NASA within the last three years that meets or exceeds the screening requirements of the IT position; or

(iii) Screening conducted by the Contractor, within the last three years, that is equivalent to the NASA personnel screening procedures as approved by the Contracting Officer and concurred on by the CCS.

(d) The Contracting Officer may waive the requirements of paragraphs (b) and (c)(1) through (c)(3) upon request of the Contractor. The Contractor shall provide all relevant information requested by the Contracting Officer to support the waiver request. (e) The Contractor shall contact the Contracting Officer for any documents, information, or forms necessary to comply with the requirements of this clause.

(f) At the completion of the contract, the contractor shall return all NASA information and IT resources provided to the contractor during the performance of the contract and certify that all NASA information has been purged from contractor-owned systems used in the performance of the contract.

(g) The Contractor shall insert this clause, including this paragraph (g), in all subcontracts

(1) Have physical or electronic access to NASA's computer systems, networks, or IT infrastructure; or

(2) Use information systems to generate, store, process, or exchange data with NASA or on behalf of NASA, regardless of whether the data resides on a NASA or a contractor's information system.

(End of clause)

I.5 1852.215-84 OMBUDSMAN (OCT 2003)

- (a) An ombudsman has been appointed to hear and facilitate the resolution of concerns from offerors, potential offerors, and contractors during the pre-award and post-award phases of this acquisition. When requested, the ombudsman will maintain strict confidentiality as to the source of the concern. The existence of the ombudsman is not to diminish the authority of the contracting officer, the Source Evaluation Board, or the selection official. Further, the ombudsman does not participate in the evaluation of proposals, the source selection process, or the adjudication of formal contract disputes. Therefore, before consulting with an ombudsman, interested parties must first address their concerns, issues, disagreements, and/or recommendations to the contracting officer for resolution.
- (b) If resolution cannot be made by the contracting officer, interested parties may contact the installation Ombudsman, Ms. Robin N. Henderson, George C. Marshall Space Flight Center, DE01, Building 4200, Marshall Space Flight Center, AL 35812, telephone: 256-544-1919, facsimile: 256-544-7920, and e-mail address: Robin.N.Henderson@nasa.gov.

Concerns, issues, disagreements, and recommendations which cannot be resolved at the installation may be referred to the NASA ombudsman, the Director of the Contract Management Division, at 202-358-0445, facsimile 202-358-3083, e-mail, james.a.balinskas@nasa.gov. Please do not contact the ombudsman to request copies of the solicitation, verify offer due date, or clarify technical requirements. Such inquiries shall be directed to the contracting officer or as specified elsewhere in this document.

(ALTERNATE I) (JUN 2000)

- (c) If this is a task or delivery order contract, the ombudsman shall review complaints from contractors and ensure they are afforded a fair opportunity to be considered, consistent with the procedures of the contract.

(End of Clause)

This documentation shall include, but not be limited to, requirements definition, design definition, code documentation, users guides for operations personnel as well as end users, implementation plans and operations plans. Assure that all internal reviews and on-site coordination activities are completed. Provide user support functions for S&MA Management Information including training and real-time help for supported programs and processes.

- 7.6 The contractor shall provide computer security risk assessments of all S&MA databases and data applications in accordance with MPR 2810.1, "Security of Information Technology". The contractor shall prepare an Information Technology Security Plan that documents how the contractor and subcontractor personnel will utilize, in a secure manner commensurate with sensitivity of the information involved, those Federal computer systems and software applications managed by others. The contractor shall prepare a system-level Information Technology System Security Plan for each Federal general support computer system and major software application managed by contractor and subcontractor personnel in the performance of the contract. The security plan(s) shall be based on an assessment of risks and document the safeguards necessary to ensure sufficient electronic information availability, integrity, and confidentiality as required by NPR 2810.1. The contractor shall provide, review and revise information technology security plans per requirements. Coordinate information technology security-related initiatives for contract personnel.

8.0 PROJECT ASSURANCE SERVICES

Project Assurance Services shall be provided to all S&MA supported programs/projects.

8.1 S&MA Project Team Participation

- 8.1.1 The contractor shall coordinate the contractor S&MA activities with the S&MA project team leads to assure the proper execution of the S&MA project requirements.
- 8.1.2 The contractor shall serve as expert advisor on SRM&QA topics for project team meetings, technical interchange meetings, problem investigation and resolution efforts, and other routine project meetings.
- 8.1.3 The contractor shall participate in milestone reviews, data reviews, and safety reviews.
- 8.1.4 The contractor shall provide assessments of flight readiness in support of the S&MA input to the SMSR's and the Certificate of Flight Readiness for the MSFC

DATA PROCUREMENT DOC.
NO. ISSUE
1107 **Revision B**

NNM07AA74C

CONTRACT/RFP

EXHIBIT NUMBER

J-2

ATTACHMENT NUMBER

Safety and Mission Assurance Services

PROJECT/SYSTEM

DATA PROCUREMENT DOCUMENT

Hernandez Engineering, Inc.

CONTRACTOR

March 26, 2008

DATE

National Aeronautics and
Space Administration

National Aeronautics and Space Administration					DATA PROCUREMENT DOC.	
DOCUMENT CHANGE LOG					NO.	ISSUE
					1107	Revision B
INCORPORATED REVISIONS OUTSTANDING REVISIONS				AS OF: 03-26-08	SUPERSEDING: 07-12-07	PAGE:
AUTHORITY	PORTION AFFECTED - PAGE NO./NO.				REMARKS	
	INTRO	SGR	DRL	DRD		
Contract Mod 4				X	Added the following DRD: 1107MA-012, Position Risk Designation for Non-NASA Employee	
Contract Mod. 014			X	X	Deleted the following DRD: 1107CD-001, Information Technology Security Program Plan	

National Aeronautics and Space Administration			DATA PROCUREMENT DOC.		
PAGE REVISION LOG			NO. ISSUE		
			1107 Revision B		
NOTE: The current revision is denoted by a vertical line in the outer margin adjacent to the affected text.		AS OF: 03-26-08	SUPERSEDING: 07-12-07	PAGE:	
INSERT LATEST REVISED PAGES. DISCARD SUPERSEDED PAGES.					
ITEM	PAGE	STATUS	ITEM	PAGE	STATUS
DPD	ALL	Revision B			

- 1.1 Scope: Subject to the Rights in Data clause, this Data Procurement Document (DPD) sets forth the data requirements in each Data Requirements Description (DRD) and shall govern that data required by the DPD for the contract. The contractor shall furnish data defined by the DRD's listed on the Data Requirements List (DRL) by category of data, attached hereto, and made a part of this DPD. Such data shall be prepared, maintained, and delivered to NASA in accordance with the requirements set forth within this DPD. In cases where data requirements are covered by a Federal Acquisition Regulation (FAR) or NASA FAR Supplement (NFS) clause, that clause shall take precedence over the DPD, consistent with clause FAR 52.215-8.
- 1.2 DPD Description: This DPD consists of a Document Change Log, a Page Revision Log, an Introduction, a Statement of General Requirements, DPD maintenance procedures, a DRL, and the DRD's.
- 1.2.1 General Requirements: The general requirements, as specified in paragraph 2.0 of this DPD, prescribe those requirements applicable to the preparation, maintenance, and delivery of data that are better defined in aggregate than in the individual DRD's.
- 1.2.2 Data Requirements List (DRL): Throughout the performance of the contract, the DRL provides a listing by data category of the data requirements of the DPD.
- 1.2.3 Data Requirements Descriptions (DRD's)
- 1.2.3.1 Each data requirement listed on the DRL is given complete definition by a DRD. The DRD prescribes content, format, maintenance instructions, and submittal requirements.
- 1.2.3.2 For the purpose of classification and control, DRD's of this DPD are grouped into the following broad functional data categories:
- | <u>CATEGORY SYMBOL</u> | <u>DESCRIPTION</u> |
|------------------------|--------------------|
| LS | Logistics Support |
| MA | Management |
| SA | Safety |
- 1.2.3.3 The symbols representing these data categories form part of the prefix of the DRD identification number. The first numerical characters reflect the DPD number.
- 1.2.3.4 To facilitate the usage and maintenance of the DPD, the DRD's have been sectionalized in accordance with the above data categories.
- 1.2.3.5 The DRD's are filed by data category and are in alpha-numeric sequence as listed on the DRL page (or pages) that precedes the DRD's.
- 1.2.4 Document Change Log (DCL) and Page Revision Log (PRL): The Document Change Log chronologically records all revision actions that pertain to the DPD. The Page Revision Log describes the current revision status of each page of the DPD and thus, at all times, provides its exact configuration.
- 1.2.5 DPD Maintenance Procedures: Maintenance procedures define the detailed methods to be employed in maintaining the DPD. Detailed maintenance procedures are specified in paragraph 3.0 of this DPD.
- 1.3 Data Types for Contractual Efforts: The types of data and their contractually applicable requirements for approval and delivery are:

<u>TYPE</u>	<u>DESCRIPTION</u>
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- 1* All issues and interim changes to those issues require written approval from the requiring organization before formal release for use or implementation.

- 2* NASA reserves a time-limited right to disapprove in writing any issues and interim changes to those issues. The contractor shall submit the required data to NASA for review not less than 45 calendar days** prior to its release for use. The contractor shall clearly identify the release target date in the “submitted for review” transmittal***. If the data is unacceptable, NASA will notify the contractor within 45 calendar days** from the date of submission, regardless of the intended release date***. The contractor shall resubmit the information for reevaluation if disapproved. The submittal is considered approved if the contractor does not receive disapproval or an extension request from NASA within 45 calendar days**.
- 3 These data shall be delivered by the contractor as required by the contract and do not require NASA approval. However, to be a satisfactory delivery, the data shall satisfy all applicable contractual requirements and be submitted on time.
- 4 These data are produced or used during performance of the contract and are retained by the contractor. They shall be delivered only when NASA requests in writing and shall be delivered in accordance with the instructions in the request. The contractor shall maintain a list of these data and shall furnish copies of the list to NASA when requested to do so.
- 5 These data are incidental to contract performance and are retained by the contractor in those cases where contracting parties have agreed that formal delivery is not required. However, the Contracting Officer or the Contracting Officer’s Representative shall have access to and can inspect this data at its location in the contractor’s or subcontractor’s facilities, or in an electronic database accessible to the Government
- 2.□.□ Note: Type 1 and Type 2 data may be placed under NASA configuration management control when designated by NASA. CM control requires the contractor to submit Type 1 and Type 2 data updates through Engineering Change Proposals (ECPs).
- ** Note: This time limit may be tailored for individual DPD’s to meet the requirements of the procuring activity.
- *** Note: If the contractor does not identify a release target date or if the intended release date is shorter than 45 calendar days from the date of submission, the 45 calendar days review cycle stands (or the tailored Type 2 time limitation for the specific procurement).

2.0 STATEMENT OF GENERAL REQUIREMENTS

- 2.2.□ Applicable/Reference Documents: Documents included as applicable documents in this DPD are the issue specified in the Statement of Work, and form a part of the DPD to the extent specified herein. Applicable documents listed in Item 15.2 of a DRD are applicable only to the preparation of the deliverable documentation described by that DRD.

References to documents other than applicable documents in the data requirements of this DPD may sometimes be utilized, and shall be indicated in 13. Remarks of the DRD. These do not constitute a contractual obligation on the contractor. They are to be used only as a possible example or to provide related information to assist the contractor in developing a response to that particular data requirement.

2.2 Subcontractor Data Requirements

- 2.2.1 The contractor shall specify to subcontractors and vendors, if any, the availability source of all data required for the satisfactory accomplishment of their contracts. The contractor shall validate these requirements for documents when appropriate; where the requirement concerns other contractor data, the contractor shall provide his subcontractor or vendor with the necessary documents. All such requests shall be accomplished under the auspices of the contractor.

2.2.2 Reference to subcontractor data in the contractor's responses is permissible, providing the references are adequate and include such identification elements as title, number, revision, etc., and a copy of the referenced data is supplied with the response document at time of delivery to NASA.

2.3 Data Distribution, Format, Data Restriction Marking, and Transmittal

2.3.1 Distribution: Distribution of required documentation shall be in quantities determined by the Contracting Officer. Recipient names and email (if applicable) addresses shall be noted on a separate distribution list to be furnished by the Contracting Officer. The Contracting Officer's letter may include other information pertinent to delivery of data, as required.

2.3.2 Format

2.3.2.1 Electronic Format: Electronic submission of data deliverables is preferred. Electronic deliverables shall be printable. Data deliverables shall be delivered to NASA in the format specified below unless a specific format is required by a DRD. Data submittals shall consist of a single Adobe Acrobat PDF file and the native format electronic file(s). The preferred native formats include Microsoft Word, Excel, PowerPoint or CAD drawing plot file, as appropriate. Where a single native format file is not possible, multiple files may be integrated into a single ZIP file for submission. The organization of the contents of the integrated ZIP file shall be made readily apparent to the reader, and each file within the integrated product shall be clearly identifiable and traceable within the organization of the integrated product. If files are fragmented, file names shall be labeled logically and contiguously, and the files shall be easily reassembled or merged (e.g. 1 filename, 2 filename, 2a filename, etc.). The software versions shall be confirmed prior to submittals.

2.3.2.2 Hardcopy Format: In addition to the electronic submittal, one hardcopy package of specific data deliverables shall be delivered to the NASA Contracting Officer for the Government contract file. This requirement is indicated in Item 15.4, Format of each DRD. The hardcopy package shall consist of the contractor's Transmittal Memo and one copy of the data deliverable.

2.3.3 Data Restriction Marking

2.3.3.1 Data Restriction Determination and Marking Requirements: The contractor shall determine the data restriction that applies to each data deliverable and mark the data restriction on the data coversheet, or indicate the data restriction in the data transmittal package if the data format precludes identification of data restriction directly in the data. The contractor shall make a determination for each individual data deliverable item, and shall not apply a default or blanket data restriction marking to all data deliverables (e.g., "data may be export restricted"). If NASA does not agree with the contractor applied data restriction, the NASA Contracting Officer shall return the data to the contractor, cancel the markings, or ignore the markings consistent with the procedures set forth in the "data rights" clause(s) contained in the contract.

2.3.3.2 Data Restriction Categories and Marking Statements: The contractor shall consider the following data restriction categories, as a minimum, and utilize specified marking statements.

If data delivered under this contract is subject to the International Traffic in Arms Regulations (ITAR), the data shall contain an "ITAR Notice" as follows:

International Traffic in Arms Regulations (ITAR) Notice

This document contains information which falls under the purview of the U.S. Munitions List (USML), as defined in the International Traffic in Arms Regulations (ITAR), 22 CFR 120-130, and is export controlled. It shall not be transferred to foreign nationals in the U.S. or abroad, without specific approval of a knowledgeable NASA export control official, and/or unless an export license/license exemption is obtained/available from the United States Department of State. Violations of these regulations are punishable by fine, imprisonment, or both.

If data delivered under this contract is subject to the Export Administration Regulations (EAR), the data shall contain the "EAR Notice" as follows:

Export Administration Regulations (EAR) Notice

This document contains information within the purview of the Export Administration Regulations (EAR), 15 CFR 730-774, and is export controlled. It may not be transferred to foreign nationals in the U.S. or abroad without specific approval of a knowledgeable NASA export control official, and/or unless an export license/license exception is obtained/available from the Bureau of Export Administration (BXA), United States Department of Commerce. Violations of these regulations are punishable by fine, imprisonment, or both.

If the contract contains FAR 52.227-14 *Alternate II*, the "Limited Rights Notice" may be applicable to data (other than computer software) delivered under this contract.

If the contract contains FAR 52.227-14 *Alternate III*, the "Restricted Rights Notice" may be applicable to computer software delivered under this contract.

If the contract contains FAR 52.227-20, the "SBIR Rights Notice" may be applicable to SBIR data delivered under this contract.

In accordance with the applicable data clause (e.g., FAR 52.227-14(c) or FAR 52.227-20(c)), the contractor may be able to assert a copyright claim in data delivered under this contract. When claim to copyright is made, the Contractor shall affix the applicable copyright notices of 17 U.S.C. 401 or 402 and acknowledgment of Government sponsorship (including contract number) to the data when such data are delivered to the Government.

2.3.4 Transmittal

2.3.4.1 Data shall be transmitted to NASA by email, CD or DVD, hardcopy, or other mechanism agreed to by the Contracting Officer, COTR, and Project representatives who are responsible to receive, index, and store the data deliverables.

2.3.4.2 If email is used to transmit data deliverables, the email size shall be 10 Megabytes or less to ensure receipt by the NASA email servers. Encrypted email format shall be used to transmit data which has been judged sensitive by the contractor (e.g., export controlled, limited rights data, SBIR, restricted computer software, copyrighted, etc.).

2.3.4.3 Data Transmittal Package: Each data transmittal package shall include:

- a. Transmittal memorandum that specifies the meta-data below for each data transmittal:
 1. Contract number.
 2. Data Requirements Description (DRD) number.
 3. DRD data type (specified in Item 3 on the DRD).
 4. Submission date or milestone being satisfied.
 5. Document number and revision.
 6. Document title.
 7. File names of all files being delivered; file naming convention shall clearly identify the document being delivered.
 8. Distribution (as defined by the Contracting Officer's letter).
 9. Requested response date.
 10. Contractor assigned data restriction (export controlled, limited rights data, SBIR, restricted computer software, copyrighted, etc.) if not marked on data.
 11. NASA Records Retention Schedule (NRRS) number, if applicable. (See NPR 1441.1, NASA Records Retention Schedules)
- b. Printable electronic files or hardcopy data.

- 2.3.5 Use of the MSFC Documentation Repository: If Program/Project requires the contractor to transmit data directly to the Repository, Marshall Policy Directive (MPD) 2210.1 specifies the requirements for utilizing the Documentation Repository. Electronic data deliverables should be transmitted directly to the Repository via a secure web page, available at <https://webpub.nis.nasa.gov/submittal/index.html>. Computer-Aided Design (CAD) drawings shall be submitted in the original native vector, Hewlett-Packard Graphic Language (HPGL) and raster image formats.
- 2.4 Printing: All printing, duplicating, or binding shall be in accordance with NFS 1852.208-81, Restrictions on Printing and Duplicating. Printing of formal reports and Type 1 and 2 data in book format shall be in accordance with the following general specifications:
- a. Method of reproduction – offset/xerography.
 - b. Finished size – 8 1/2” X 11”.
 - c. Paper – 20-pound opaque bond.
 - d. Cover – Litho cover stock.
 - e. Pages shall be printed on both sides; blank pages shall be avoided when possible.
 - f. Oversize pages shall be avoided when possible, but if necessary shall be folded to 8 1/2” X 11”.
 - g. Binding shall be the most economical method commensurate with the size of the report and its intended use.
- 2.5 Contractor’s Internal Documents: The contractor’s internal documents shall be used to meet the data requirements of this DPD unless a specific format is required by the applicable DRD.
- 2.6 Document Identification: Type 1 and 2 documents published by the contractor and submitted in response to the data requirements of this DPD shall be identified within an organized identification numbering system prescribed to NASA by the contractor and, if applicable, as approved by NASA. For all data types, the document number, change legend, date, and title constitute the minimum identification of the specific document and shall appear on the cover and title page. The contract number shall also appear on the cover and title page as separate markings. The originator and organization shall be included on the title page. The document number, change legend, and date shall appear on each page of the document. In the front matter of each document, identify the DPD number and applicable DRD number(s) required for document preparation. Successive issues or revisions of documents shall be identified in the same manner as the basic issue and shall have appropriate change identification. Drawings and ECP’s are excluded from the marking provisions of this paragraph. All Type 1 documentation, excluding configuration management requirements, shall be marked “PRELIMINARY PENDING NASA APPROVAL,” and once approved shall be reissued with “APPROVED BY NASA” and the date and approval authority annotated on the cover.
- 2.7 Reference to Other Documents and Data Deliverables in Data Submittals: All referenced documents shall be made readily available to the cognizant NASA organization upon request. The contractor should make sure that the references are available to NASA in a manner which does not incur delays in the use of the response document. Reference may be made, within one data submittal, to other data submittals delivered in response to this DPD in those cases where the data required by one DRD may have been delivered by the contractor in response to another DRD. The reference to previously-submitted data shall include the applicable DRD number, data submittal version date, and location within the referenced document.
- 2.8 Maintenance of Type 1 Document Submittals
- 2.8.1 Revisions of Type 1 documentation may be accomplished either by individual page revision or by a complete reissue of the document identified in accordance with requirements of 2.7 above, with the exception of drawings (which shall be revised in accordance with contract configuration management requirements).
- 2.8.2 Individual page revisions shall be made as deemed necessary by the contractor or as directed by the Contracting Officer.

- 2.8.3 A Type 1 document shall be completely reissued when, in the opinion of the contractor and/or NASA, the document has been revised to the extent that it is unusable in its present state, or when directed by the Contracting Officer. When complete reissues are made, the entire contents of the document shall be brought up to date and shall incorporate revised pages. All revisions shall be recorded. A revision log shall identify complete reissues except for periodic reports and documents which are complete within themselves as final.
- 2.8.4 Changes of a minor nature to correct obvious typing errors, misspelled words, etc., shall only be made when a technical change is made, unless the accuracy of the document is affected.
- 2.8.5 All revised pages shall be identified by a revision symbol and a new date. Each document shall contain a log of revised pages that identify the revision status of each page with the revision symbol. This list shall follow the table of contents in each document. The line or lines revised on a given page shall be designated by the use of vertical line in the margin of the page, and the change authority shall be indicated adjacent to the change.
- 2.8.6 Contractor Type 1 documents shall not be submitted containing pen and ink markups which correct, add to, or change the text, unless schedule problems exist and approval is obtained in writing from the Contracting Officer. Such markups, however, shall not exceed 20 percent of the page content and shall be acceptable provided that the reproduced copies are legible. In addition, hand-drawn schematics, block diagrams, data curves, and similar charts may be used in original reports in lieu of formally prepared art work, as long as legibility of copies is not impaired. Acceptability shall be determined by the Contracting Officer.
- 3.0 DPD MAINTENANCE PROCEDURES
- 3.1 NASA-Initiated Change: New and/or revised data requirements shall be incorporated by contract modification to which the new or revised portion of the DPD shall be appended. The contractor shall notify the Contracting Officer in the event a deliverable data requirement is imposed and is not covered by a DRD, or when a DRD is changed by a contract modification and for which no revision to DPD is appended. In such cases, the contractor shall submit the requested changes to NASA for approval. See paragraph 3.3.1 for change procedures.
- 3.2 Contractor-Initiated Change: Contractor-proposed data requirements, or proposed changes to existing requirements shall be submitted to NASA for approval.
- 3.3 DPD Change Procedures
- 3.3.1 Changes to a contractual issue of this DPD shall be identified by NASA on the Document Change Log and Page Revision Log. The actual revised material on the DPD page shall be identified by placing a heavy vertical line in the right-hand margin extending the entire length of the change. In addition, the numerical control number of the contractual direction authorizing the change shall be placed adjacent to the vertical revision line. These revision identifiers shall be used to reflect the current revision only; any previous symbols on a page shall be deleted by the current revision.
- 3.3.2 The date of the contractual direction paper, e.g., Change Order, Supplemental Agreement, or Contracting Officer's letter shall be entered under the "Status" column of the Page Revision Log adjacent to the affected page or DRD number, and in the "as of" block. The date that was in the "as of" block shall be entered in the "Superseding" block.
- 3.3.3 The Document Change Log entitled "Incorporated Revisions" shall be changed to indicate the number, portions affected, and associated Supplemental Agreement number, if applicable.
- 3.3.4 The Document Change Log entitled "Outstanding Revisions" is changed periodically to indicate outstanding Change Orders and Contracting Officer notification letters.

3.4 DPD Reissues

- 3.4.1 When conditions warrant, the DPD shall be reissued by NASA and shall supersede the existing DPD in its entirety. Reissues shall be issued by contractual direction.
- 3.4.2 All revision symbols (vertical lines and contractual direction control numbers) shall be removed from all pages; revision dates shall remain in the Date Revised block on DRD's that have been revised. The issue symbol, which shall commence with "A" and progress through "Z," shall be entered in the DPD identification block of each DRD page of the DPD.

Safety and Mission Assurance Services**Data Requirements List**

<u>DRD</u>	<u>DATA TYPE</u>	<u>TITLE</u>	<u>OPR</u>
CD - Contract Data 1107CD-001	2	Information Technology Security Plans	IS10
LS – Logistics Support 1107LS-001	2	Government Property Management Plan	AS41
MA - Management 1107MA-001	1	Management Plan	QD01
1107MA-002	2	Evaluation and Assessment Reports	QD01
1107MA-003	2	MSFC Safety, Reliability, Maintainability and Quality Assurance (SRM&QA) Documents	QD01
1107MA-004	2	Problem Assessment Center (PAC) Operations Plan	QD01
1107MA-005	2	Management Status Review (MSR) Input	QD01
1107MA-006	2	Organizational Conflict of Interest (OCI) Avoidance Plan	PS33
1107MA-007	3	Contractor Employee Clearance Document	AS50
1107MA-008	3	Financial Management Report (533M and 533Q)	CS40
1107MA-009	3	Bi-weekly Notes	QD01
1107MA-010	3	Badged Employee and Remote IT User List	AS50
1107MA-011	3	Make or Buy Plan	QD01
1107MA-012	3	Position Risk Designation for Non-NASA Employee(s)	AS50
SA - Safety 1107SA-001	1	Personnel Training and Certification Plan	QD40
1107SA-002	2	Safety, Health, and Environmental (SHE) Plan	QD12/AS10
1107SA-003	3	Mishap and Safety Statistics Reports	QD12

DATA REQUIREMENTS DESCRIPTION (DRD)

1. **DPD NO.:** 1107 **ISSUE:** Revision B
2. **DRD NO.:** **1107LS-001**
3. **DATA TYPE:** 2
4. **DATE REVISED:**
5. **PAGE:** 1/1
6. **TITLE:** Government Property Management Plan
7. **DESCRIPTION/USE:** To describe the method of controlling and managing Government property.
8. **OPR:** AS41 9. **DM:** QD01
10. **DISTRIBUTION:** Cognizant property administrator
11. **INITIAL SUBMISSION:** Preliminary three months after Authority to Proceed (ATP)
12. **SUBMISSION FREQUENCY:** Final one year after ATP, revise as required
13. **REMARKS:** This document shall be the official contract requirements document for the control and identification of all Government property.
14. **INTERRELATIONSHIP:** PWS paragraph 2.2
15. **DATA PREPARATION INFORMATION:**
- 15.1 **SCOPE:** The Government Property Management Plan defines the contractor's methods of care, accounting, and control of Government property.
- 15.2 **APPLICABLE DOCUMENTS:**

FAR	<i>Federal Acquisition Regulation, Part 45</i>
NPR 5100.4B	<i>Federal Acquisition Regulation Supplement, (NASA/FAR Supplement) Part 18-45 and latest revisions thereto</i>
- 15.3 **CONTENTS:** The Government Property Management Plan shall satisfy the requirements of the documents listed in 15.2, and the contract. This plan shall consist of those procedures which constitute the contractor's property management system and shall include the following categories:

a. Property management.	i. Reports.
b. Acquisition.	j. Consumption.
c. Receiving.	k. Utilization.
d. Identification.	l. Maintenance.
e. Records.	m. Subcontractor control.
f. Movement.	n. Disposition.
g. Storage.	o. Contract close-out.
h. Physical inventories.	
- 15.4 **FORMAT:** Contractor format is acceptable.
- 15.5 **MAINTENANCE:** Changes shall be incorporated by change page or complete reissue.

DATA REQUIREMENTS DESCRIPTION (DRD)

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|---|---|
| <p>1. DPD NO.: 1107 ISSUE: Revision B</p> <p>3. DATA TYPE: 1</p> <p>6. TITLE: Management Plan</p> <p>7. DESCRIPTION/USE: To provide a description of the contractor's overall management system and organization for accomplishing the requirements set forth in the contract.</p> <p>8. OPR: QD01 9. DM: QD01</p> <p>10. DISTRIBUTION: Per Contracting Officer's letter</p> <p>11. INITIAL SUBMISSION: 30 days after Authority to Proceed (ATP).</p> <p>12. SUBMISSION FREQUENCY: Revise as required</p> <p>13. REMARKS:</p> <p>14. INTERRELATIONSHIP: PWS paragraph 2.0</p> <p>15. DATA PREPARATION INFORMATION:</p> <p>15.1 SCOPE: The Management Plan describes the contractor's concept plans, practice, and approach for accomplishing the requirements set forth in the contract, i.e., managing and controlling Task Order Requests (TORs), Task Order Plans (TOPs), Task Orders (TOs) and TO sub-elements, and management interfaces. The plan shall be in such detail as necessary to convey the contractor's internal procedures.</p> <p>15.2 APPLICABLE DOCUMENTS: None</p> <p>15.3 CONTENTS: The Management Plan shall include:</p> <p style="margin-left: 20px;">a. Description of the project tasks to be accomplished and an outline of methods by which the contractor proposes to accomplish each task down to the Level II WBS task level.</p> <p style="margin-left: 20px;">b. Description of management concepts, plans, project management and task/control systems, organizational approach, approach to quality and communication channels between the contractor and the Government. This shall include descriptions, flow charts, schedules, and other documentation necessary to give a comprehensive plan of organization and accomplishment.</p> <p>15.4 FORMAT: Contractor format is acceptable.</p> <p>15.5 MAINTENANCE: Changes shall be incorporated by change page or complete reissue.</p> | <p>2. DRD NO.: 1107MA-001</p> <p>4. DATE REVISED:</p> <p>5. PAGE: 1/1</p> |
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DATA REQUIREMENTS DESCRIPTION (DRD)

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|-------------------------|-------------------|--------------------------------------|
| 1. DPD NO.: 1107 | ISSUE: Revision B | 2. DRD NO.: 1107MA-002 |
| 3. DATA TYPE: 2 | | 4. DATE REVISED: |
| | | 5. PAGE: 1/1 |
6. **TITLE:** Evaluation and Assessment Reports
7. **DESCRIPTION/USE:** To provide the S&MA Directorate with the information required to accomplish its mission in support of MSFC Programs and Projects.
8. **OPR:** QD01 9. **DM:** QD01
10. **DISTRIBUTION:** Per Contracting Officer's letter
11. **INITIAL SUBMISSION:** As required
12. **SUBMISSION FREQUENCY:** If requested, for each document evaluated and each milestone review.
13. **REMARKS:**
14. **INTERRELATIONSHIP:** PWS paragraph 11.2
15. **DATA PREPARATION INFORMATION:**
- 15.1 **SCOPE:** The Evaluation and Assessment Reports various types of reviews for comment, analyses and evaluations required by the Statement of Work.
- 15.2 **APPLICABLE DOCUMENTS:** None
- 15.3 **CONTENTS:** The Evaluation and Assessment Reports shall review comments, analyses and evaluations of various types of documents for the purpose of determining adequacy and compliance with requirements. Such as: NASA Handbooks, MSFC requirements documents, Level II requirements documents, contractor or Government drawings, specifications, FMEA's, CIL's, Hazard Analyses, Quality Plans and Procedures, Safety Plans, Test Plans and Procedures, Software, ECP/ECR/SCR's, OMI/OMRSD's, and other documents applicable to MSFC Programs and Projects.
- The contractor shall detail deficiencies and make recommendations for approval, disapproval, and required changes. The contractor shall also provide trip reports.
- 15.4 **FORMAT:** Contractor format is acceptable as long as it fulfills the needs of the task managers.
- 15.5 **MAINTENANCE:** None required

DATA REQUIREMENTS DESCRIPTION (DRD)

1. **DPD NO.:** 1107 **ISSUE:** Revision B
2. **DRD NO.:** **1107MA-003**
3. **DATA TYPE:** 2
4. **DATE REVISED:**
5. **PAGE:** 1/1

6. **TITLE:** MSFC Safety, Reliability, Maintainability and Quality Assurance (SRM&QA) Documents

7. **DESCRIPTION/USE:** To provide the S&MA Directorate with the plans, procedures, briefing materials and other documents required in accomplishment of SRM&QA activities.

8. **OPR:** QD01 9. **DM:** QD01

10. **DISTRIBUTION:** Per Contracting Officer's letter

11. **INITIAL SUBMISSION:** As required

12. **SUBMISSION FREQUENCY:** As required and requested by the S&MA Directorate.

13. **REMARKS:** Reference is made to NASA and MSFC Directives and Standards as applicable.

14. **INTERRELATIONSHIP:** PWS paragraph 11.1

15. **DATA PREPARATION INFORMATION:**
- 15.1 **SCOPE:** The MSFC Safety, Reliability, Maintainability and Quality Assurance (SRM&QA) Documents various types of MSFC SRM&QA plans, procedures and requirements documents.
- 15.2 **APPLICABLE DOCUMENTS:** None
- 15.3 **CONTENTS:** The MSFC Safety, Reliability, Maintainability and Quality Assurance (SRM&QA) Documents shall be prepared for MSFC S&MA approval and use the various types of plans, procedures, and other documentation for MSFC in-house SRM&QA activities. Examples are quality plans and procedures, verification analyses, safety analyses, FMEA's, CIL's, reliability and maintainability analyses and assessments, and other types of documents detailed in the Statement of Work. They shall also have the capability of preparing charts (viewgraphs) and writing documents such as training plans and SRM&QA management plans. The documents shall be prepared in accordance with NASA or MSFC Directives and standards associated with the preparation of the different documents requested.
- 15.4 **FORMAT:** The contractor shall use the format established by the directives governing the preparation of the specific documents, otherwise contractor format will be acceptable.
- 15.5 **MAINTENANCE:** Maintained current by page revision or complete reissue to reflect all approved changes.

DATA REQUIREMENTS DESCRIPTION (DRD)

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| 1. DPD NO.: 1107 | ISSUE: Revision B | 2. DRD NO.: 1107MA-004 |
| 3. DATA TYPE: 2 | | 4. DATE REVISED: |
| | | 5. PAGE: 1/1 |
6. **TITLE:** Problem Assessment Center (PAC) Operations Plan
7. **DESCRIPTION/USE:** To provide updates to the PAC Operations plan.
8. **OPR:** QD01 9. **DM:** QD01
10. **DISTRIBUTION:** Per Contracting Officer's letter
11. **INITIAL SUBMISSION:** Sixty (60) days after Authority to Proceed (ATP).
12. **SUBMISSION FREQUENCY:** Revision as required
13. **REMARKS:**
14. **INTERRELATIONSHIP:** PWS paragraph 5.5.1
15. **DATA PREPARATION INFORMATION:**
- 15.1 **SCOPE:** The Problem Assessment Center (PAC) Operations Plan identifies the organization, implementation and control of the PAC. The plan shall also identify the periodic reports the PAC will issue to fulfill customer needs.
- 15.2 **APPLICABLE DOCUMENTS:**
- | | |
|-------------------|--|
| NSTS 08126 | <i>Space Shuttle Problem Reporting and Corrective Action System Requirements</i> |
| SSP 30223 | <i>International Space Station Program Problem Reporting and Corrective Action System Requirements</i> |
| XXX | CLV PRACA documents when baselined |
- 15.3 **CONTENTS:** The PAC Operations Plan shall provide identification of the disciplines, controls and interfaces necessary to implement operation of the PAC, and shall satisfy the requirements of the documents listed in 15.2.
- 15.4 **FORMAT:** The format of the plan shall permit accommodation of special requirements of new projects via appendices. Generally, the order of tasks shall be in accordance with paragraph 5.5 of the PWS.
- 15.5 **MAINTENANCE:** Changes shall be incorporated by change page or complete reissue. The Plan shall be reviewed at least once each year to identify necessary changes.

DATA REQUIREMENTS DESCRIPTION (DRD)

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|-------------------------|-------------------|--------------------------------------|
| 1. DPD NO.: 1107 | ISSUE: Revision B | 2. DRD NO.: 1107MA-005 |
| 3. DATA TYPE: 2 | | 4. DATE REVISED: |
| | | 5. PAGE: 1/1 |
6. **TITLE:** Management Status Review (MSR) Input
7. **DESCRIPTION/USE:** To provide data for the assessment of contract progress by task order (TO). To provide visibility to the contractor and MSFC Management of actual and potential problems and their progress toward meeting the requirements of the contract
8. **OPR:** QD01 9. **DM:** QD01
10. **DISTRIBUTION:** Per Contracting Officer's letter
11. **INITIAL SUBMISSION:** First MSR after Authority to Proceed (ATP)
12. **SUBMISSION FREQUENCY:** Monthly thereafter. The report shall be submitted at the MSR.
13. **REMARKS:**
14. **INTERRELATIONSHIP:** PWS paragraphs 2.0 and 2.7
15. **DATA PREPARATION INFORMATION:**
- 15.1 **SCOPE:** The Management Status Review (MSR) Input provides a comprehensive status on all active TOs and include the necessary information to assess status and identify problems that need resolution for accomplishment of the contract tasks.
- 15.2 **APPLICABLE DOCUMENTS:** None
- 15.3 **CONTENTS:** The Management Status Review (MSR) Input shall include:
- a. Review of work accomplished, including quantitative description, during the reporting period.
 - b. Discussion of non-routine tasks planned for the next reporting period.
 - c. **Indication of any problems, which may impede performance or impact performance, schedule or cost.**
 - d. **Schedule with milestones.**
 - e. Labor hours expended by labor category showing overtime hours separately.
 - f. Costs expended (by cost element) versus negotiated cost and TO/TO sub-element funding received.
 - g. Cost detail should be delineated in terms of those government unique project numbers (UPN) funding each TO/TO sub-element.
 - h. Any other information that may assist the technical evaluators in evaluating the technical and administrative program; such as innovative processes, cost-reduction initiatives, etc.
- 15.4 **FORMAT:** Contractor format similar to government MSR charts is acceptable, hard copy charts with electronic presentation media is strongly encouraged.
- 15.5 **MAINTENANCE:** None required

DATA REQUIREMENTS DESCRIPTION (DRD)

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|-------------------------|--------------------------|--------------------------------------|
| 1. DPD NO.: 1107 | ISSUE: Revision B | 2. DRD NO.: 1107MA-006 |
| 3. DATA TYPE: 2 | | 4. DATE REVISED: |
| | | 5. PAGE: 1/2 |
6. **TITLE:** Organizational Conflict of Interest (OCI) Avoidance Plan
7. **DESCRIPTION/USE:** To demonstrate to the Government that the Contractor, when using subject matter experts, will mitigate organizational conflicts of interest and ensure that the contractor provides unbiased, impartial advice and adequately protects sensitive, proprietary data belonging to other contractors.
8. **OPR:** PS33 9. **DM:** QD01
10. **DISTRIBUTION:** Per Contracting Officer's letter
11. **INITIAL SUBMISSION:** 5 working days following Authority to Proceed (ATP)
12. **SUBMISSION FREQUENCY:** Update as required
13. **REMARKS:** Reference is made to Contract Clauses H.2, H.3, H.14, and K.3; NFS Part 1809.505-4, "*Obtaining Access to Sensitive Information;*" NFS Part 1837.203-70, "*Providing Contractors Access to Sensitive Information;*" NFS Part 1837.203-71, "*Release of Contractor's Sensitive Information;*" NFS Part 1852.237-72, "*Access to Sensitive Information;*" and NFS 1852.237-73, "*Release of Sensitive Information.*"
14. **INTERRELATIONSHIP:** PWS paragraph 2.0
15. **DATA PREPARATION INFORMATION:**
- 15.1 **SCOPE:** The Organizational Conflict of Interest Avoidance Plan demonstrates that no organizational conflict of interest exists or that any such potential conflicts have been adequately avoided or mitigated when using subject matter experts connected to any prime contractor or subcontractor performing design, development, and/or delivery of space flight hardware, software, mission integration services or other critical systems related to MSFC.
- 15.2 **APPLICABLE DOCUMENTS:** None
- 15.3. **CONTENTS:** The Organizational Conflict of Interest Avoidance Plan shall include the following:
- a. Organizational conflicts of interest pertaining to impaired objectivity associated with the use of subject matter experts shall either:
 1. Warrant that the individuals have no conflicting business relationships as defined in Clauses H.2, H.3, and K.3 in the solicitation, or
 2. Describe all business relationships that might create a conflict with the performance work statement in this order by demonstrating:
 - (a) That the management reporting chains between this order and the work performed by the technical subject matter experts for the conflicting business relationship are separated from each other.
 - (b) That the subject matter experts when performing this order are physically separated from the portion of the company performing the work for the conflicting business relationships.
 - (c) That each subject matter expert performing this order signs an express, binding, written agreement setting forth all responsibilities and duties to avoid organizational conflicts of interest and to protect sensitive data provided under this order.
 - (d) That techniques are in place to ensure that the contractor shall not favor the conflicting business relationships and will avoid the appearance of conflicts of interest.

DRD Continuation Sheet

TITLE: Organizational Conflict of Interest (OCI) Avoidance Plan **DRD NO.:** 1107MA-006
DATA TYPE: 2 **PAGE:** 2/2

15. DATA PREPARATION INFORMATION (CONTINUED):

- b. With regard to access to nonpublic information by the subject matter experts, the avoidance plan shall contain a plan to safeguard all proprietary/sensitive data the contractor receives. This plan shall include:
1. A provision that subject matter experts shall not disclose the proprietary/sensitive data relating to this order.
 2. A provision that subject matter experts only shall use the proprietary/sensitive data relating to this order.
 3. A provision that information, whether in hard copy or on electronic media, shall be marked, handled, stored, and destroyed in order to preclude an unauthorized disclosure of information.
 4. A provision that information technology shall be protected to prevent unauthorized disclosure of information.
 5. A provision that employees performing the effort must sign an express binding written agreement clearly agreeing to protect sensitive data.
 6. A requirement that subcontractors have appropriate OCI avoidance procedures in place for the use of subject matter experts.
 7. A requirement for periodic self-audits, the results of which shall be made available to the Government.
 8. Initial and periodic refresher OCI training for the contractor and subject matter experts working on the order.
 9. A Description of organizational and employee sanctions for violation of the OCI order clause or OCI Avoidance Plan provisions.
 10. Provisions on record keeping requirements regarding OCI (e.g., training, written agreements). The contractor shall make these records available to and cooperate with any neutral third party the Government assigns to review adherence to their OCI mitigation plan.
 11. A provision requiring the contractor to report any real, apparent, or potential conflict of interest that may arise to the Contracting Officer.
 12. A provision requiring the contractor to update the OCI Avoidance Plan for the subject matter experts upon occurrence of any event that will cause a change to the plan.

15.4 **FORMAT:** Contractor format is acceptable.

15.4 **MAINTENANCE:** Changes shall be incorporated by change page or complete reissue.

DATA REQUIREMENTS DESCRIPTION (DRD)

- | | | |
|-------------------------|-------------------|--------------------------------------|
| 1. DPD NO.: 1107 | ISSUE: Revision B | 2. DRD NO.: 1107MA-007 |
| 3. DATA TYPE: 3 | | 4. DATE REVISED: |
| | | 5. PAGE: 1/1 |
6. **TITLE:** Contractor Employee Clearance Document
7. **DESCRIPTION/USE:** To ensure that badged contractor employees no longer requiring Center access properly clear all accounts upon termination of employment.
8. **OPR:** AS50 9. **DM:** QD01
10. **DISTRIBUTION:** Per Contracting Officer's letter
11. **INITIAL SUBMISSION:** Immediately upon termination of employment.
12. **SUBMISSION FREQUENCY:** As required
13. **REMARKS:**
14. **INTERRELATIONSHIP:** PWS paragraph 11.3
15. **DATA PREPARATION INFORMATION:**
- 15.1 **SCOPE:** The Contractor Employee Clearance Document provides verification that all badged employees have properly cleared all accounts upon termination of employment.
- 15.2 **APPLICABLE DOCUMENTS:** None
- 15.3 **CONTENTS:** The Contractor Employee Clearance Document shall contain all the information required by MSFC Form 383-1.
- 15.4 **FORMAT:** MSFC Form 383-1, "Contractor Employee Clearance Document".
- 15.5 **MAINTENANCE:** None required

DATA REQUIREMENTS DESCRIPTION (DRD)

- | | | |
|-------------------------|-------------------|--------------------------------------|
| 1. DPD NO.: 1107 | ISSUE: Revision B | 2. DRD NO.: 1107MA-008 |
| 3. DATA TYPE: 3 | | 4. DATE REVISED: |
| | | 5. PAGE: 1/2 |
6. **TITLE:** Financial Management Report (533M and 533Q)
7. **DESCRIPTION/USE:** To provide quarterly and monthly financial reports for monitoring program costs. The 533M and 533Q reports are the official cost documents used at NASA for cost type, price redetermination, and fixed price incentive contracts.
8. **OPR:** CS40 9. **DM:** QD01
10. **DISTRIBUTION:** Per Contracting Officer's letter
11. **INITIAL SUBMISSION:** An initial report in the 533Q format is required within 30 working days after Authority to Proceed. Initial 533M reporting shall begin no later than 30 days after the incurrence of cost.
12. **SUBMISSION FREQUENCY:** 533Q: Quarterly; no later than the 15th day of the month preceding the quarter being reported in columns 8a, 8b, and 8c. 533M: Monthly; no later than 10 working days following the close of the contractor's accounting month.
13. **REMARKS:** The data contained in the reports shall be auditable using Generally Accepted Accounting Principles.
14. **INTERRELATIONSHIP:** PWS paragraph 2.0
15. **DATA PREPARATION INFORMATION:**
- 15.1 **SCOPE:** The Financial Management Report provides data on accumulated costs and funding projections for management of the contract.
- 15.2 **APPLICABLE DOCUMENTS:**
 NPR 9501.2D *NASA Contractor Financial Management Reporting*
- 15.3 **CONTENTS:** The elements of cost for financial reporting shall be mutually agreed by the contractor and NASA project office. The Financial Management Reports (533M and 533Q) shall be prepared in accordance with the detailed instructions provided on the reverse side of the NASA Forms 533M and 533Q and the supplementary instructions set forth in NPR 9501.2D, Chapter 3.
- a. 533Q Quarterly Report shall include actual cost and cost projections at the total contract level. The initial 533Q report shall reflect the original contract value detailed by negotiated reporting categories and serve as the original baseline plan.
 - b. 533M Monthly Report shall include actual cost and cost projections at the total contract level.

A summary level page reflecting cumulative total contract cost since inception shall be included. Reconciliation between the 533M/533Q and the Cost Performance Report (CPR) or Modified Cost Performance Report (M/CPR) shall be submitted as an attachment to the 533M/533Q Report.

A backup report shall be provided that identifies the following fields: Task Order (TO), TO/sub-element, reporting category, PR number, WBS, cost center, fund, current month actuals, cumulative actuals, funding received, variance next month's estimate and monthly actuals at the individual project/program level.

DRD Continuation Sheet**TITLE:** Financial Management Report (533M and 533Q)**DRD NO.:** **1107MA-008****DATA TYPE:** 3**PAGE:** 2/2

15. **DATA PREPARATION INFORMATION (CONTINUED):**

15.4 **FORMAT:** Contractor internal automated printout reports may be substituted for 533M/533Q forms (with NASA Contracting Officer's approval) provided that the contractor report contains all of the data elements required by NASA Forms 533M and 533Q. Electronic submission of contractor data is strongly encouraged (reference NPR 9501.2, paragraph 3.7).

15.5 **MAINTENANCE:** None required

DATA REQUIREMENTS DESCRIPTION (DRD)

1. **DPD NO.:** 1107
2. **DRD NO.:** **1107MA-009**
3. **DATA TYPE:** 3
4. **DATE REVISED:**
5. **PAGE:** 1/1
6. **TITLE:** Bi-weekly Notes
7. **DESCRIPTION/USE:** To provide data for the assessment of contract progress. To provide visibility to contractor and MSFC Management of actual and potential problems and progress toward meeting the requirements of the contract.
8. **OPR:** QD01
9. **DM:** QD01
10. **DISTRIBUTION:** Per Contracting Officer's letter
11. **INITIAL SUBMISSION:** First bi-weekly note submittal after Authority to Proceed (ATP).
12. **SUBMISSION FREQUENCY:** Every two weeks to correspond with the input to the Center's bi-weekly note submittal or as directed by the COTR.
13. **REMARKS:**
14. **INTERRELATIONSHIP:** PWS paragraphs 2.0 and 2.7
15. **DATA PREPARATION INFORMATION:**
- 15.1 **SCOPE:** The Bi-weekly Notes provides a status on active tasks and include the necessary information to assess status and identify problems that need resolution for accomplishment of the contract tasks.
- 15.2 **APPLICABLE DOCUMENTS:** None
- 15.3 **CONTENTS:** The Bi-weekly Notes shall include:
 - a. Review of work accomplished.
 - b. Indications of any problems which may impede performance or impact performance, schedule or cost.
 - c. Any other information that may assist the technical evaluators in evaluating the contract.
- 15.4 **FORMAT:** Center bi-weekly note format is acceptable.
- 15.6 **MAINTENANCE:** None required

DATA REQUIREMENTS DESCRIPTION (DRD)

- | | | |
|-------------------------|--------------------------|--------------------------------------|
| 1. DPD NO.: 1107 | ISSUE: Revision B | 2. DRD NO.: 1107MA-010 |
| 3. DATA TYPE: 3 | | 4. DATE REVISED: |
| | | 5. PAGE: 1/1 |
6. **TITLE:** Badged Employee and Remote IT User Listing
7. **DESCRIPTION/USE:** To assist NASA in conducting contractor floor checks and to determine if the employees meet the minimum background investigation requirements.
8. **OPR:** AS50 9. **DM:** QD01
10. **DISTRIBUTION:** Per Contracting Officer's letter
11. **INITIAL SUBMISSION:** No later than 10 working days after Authority to Proceed (ATP)
12. **SUBMISSION FREQUENCY:** Update quarterly or as personnel change occurs. If deemed necessary by the Contracting Officer, the contractor shall submit the list at times other than stated.
13. **REMARKS:** Reference is made to Federal Acquisition Regulation (FAR) Clause, FAR 52.215-2, *Audit and Records--Negotiations* (June 1999), NPR 1600.1, *NASA Security Program Procedural Requirements*, and Homeland Security Policy Directive 12.
14. **INTERRELATIONSHIP:** PWS paragraph 2.0
15. **DATA PREPARATION INFORMATION:**
- 15.1 **SCOPE:** The Badged Employee and Remote IT User Listing shall provide NASA with a list of all MSFC badged contractor employees, as well as, any contractor remote IT users who will have access to the MSFC IT system.
- 15.2 **APPLICABLE DOCUMENTS:** None
- 15.3 **CONTENTS:** The Badged Employee and Remote IT User Listing shall include the following information for each employee: employee's full name (first and middle names must be birth names), Social Security Number (SSN), date of birth, place of birth, duty position, duty location (building/room number), shift assignment, and supervisor's name. Additionally, if applicable, the type of security background check already completed [National Agency Check – Local Agency Checks and Credit Check (NACLC) or Single Scope Background Investigation (SSBI)] and the date it was completed.
- 15.4 **FORMAT:** Contractor format using Excel Spreadsheet is acceptable.
- 15.5 **MAINTENANCE:** None required

DATA REQUIREMENTS DESCRIPTION (DRD)

1. **DPD NO.:** 1107 **ISSUE:** Revision B
2. **DRD NO.:** **1107MA-011**
3. **DATA TYPE:** 3
4. **DATE REVISED:**
5. **PAGE:** 1/1

6. **TITLE:** Make or Buy Plan

7. **DESCRIPTION/USE:** To outline and define those end items to be manufactured (make) or procured (buy).

8. **OPR:** QD01 9. **DM:** QD01

10. **DISTRIBUTION:** Per Contracting Officer's letter

11. **INITIAL SUBMISSION:** With proposal

12. **SUBMISSION FREQUENCY:** Revise as required

13. **REMARKS:** Reference is made to FAR 15.407-2, *Make or Buy Programs*

14. **INTERRELATIONSHIP:** PWS paragraph 2.0

15. **DATA PREPARATION INFORMATION:**
- 15.1 **SCOPE:** The Make or Buy Plan establishes the content, format, and maintenance requirements for a “make or buy” plan of important components or subsystems.
- 15.2 **APPLICABLE DOCUMENTS:**
NFS 1852.215-78 *Make or Buy Program Requirements*
- 15.3 **CONTENTS:** The Make or Buy Plan shall contain the following in accordance with NFS 1852.215-78:
 - a. Description of each major item or work effort.
 - b. Categorization of each major item or work effort as “must make”, “must buy”, or “can either make or buy.”
 - c. For each item or work effort categorized as “can either make or buy”, a proposed either to “make” or “buy”.
 - d. Reasons for categorizing items and work effort as “must make” or “must buy” and proposing to “make” or “buy” those categorized as “can either make or buy”. The reasons must include the consideration given to the applicable evaluation factors described in the solicitation and be in sufficient detail to permit the Contracting Officer to evaluate the categorization and proposal.
 - e. Designation of the offerer’s plant or division proposed to make each item or perform each work effort and a statement as to whether the existing or proposed new facility is in or near a labor surplus area.
 - f. Identification of proposed subcontractors, if known, and their location and size status.
 - g. Any recommendation to defer make-or-buy decisions when categorization of some items or work efforts is impracticable at the time of submission.

Note: The information required from a contractor in a make-or-buy plan shall be confined to those major items or work efforts that normally would require company management review of the make-or-buy decision because they are complex, costly, needed in large quantities, or require additional facilities to produce. Raw materials, commercial items, and off-the-shelf items shall not be included, unless their potential impact on contract cost or schedule is critical. Normally, make-or-buy programs should not include items or work efforts estimated to cost less than 1 percent of the total estimated contract price of any minimum dollar set by the agency.
- 15.4 **FORMAT:** Contractor format is acceptable. The plan shall be sub-divided to categorize each item by subsystem, major components, assemblies, subassemblies, and parts to be processed or manufactured.
- 15.5 **MAINTENANCE:** Changes shall be incorporated by change page or complete reissue.

DATA REQUIREMENTS DESCRIPTION (DRD)

1. **DPD NO.:** 1107 **ISSUE:** Revision B
2. **DRD NO.:** **1107MA-012**
3. **DATA TYPE:** 3
4. **DATE REVISED:**
5. **PAGE:** 1/1

6. **TITLE:** Position Risk Designation for Non-NASA Employee(s)

7. **DESCRIPTION/USE:** To ensure that contractor employees are screened to an appropriate risk determination in accordance with NPR 1600.1, *NASA Security Program Procedural Requirements*, Chapter 4.

8. **OPR:** AS50 9. **DM:** QD01

10. **DISTRIBUTION:** The copy of the spreadsheet shall be submitted to Protective Services at the following address: Protective Services; Attn: Ms. Deborah Swafford; Building 4200, Room 222; MSFC, AL 35812 or deborah.g.swafford@nasa.gov.

11. **INITIAL SUBMISSION:** No later than 10 working days after Authority to Proceed (ATP)

12. **SUBMISSION FREQUENCY:** Update as personnel or position changes occur

13. **REMARKS:** Information shall be marked appropriately as subject to the Privacy Act of 1974 (Privacy Act Information [PAI]). The spreadsheet shall be used for all new hires and any current employees who have not previously submitted the required data on NASA Form 1760. All new hires must be noted as such on the spreadsheet.

14. **INTERRELATIONSHIP:** PWS paragraph 2.0

15. **DATA PREPARATION INFORMATION:**
- 15.1 **SCOPE:** The Position Risk Designation for Non-NASA Employee provides information necessary to determine the type of investigation required and how closely an individual is screened for a position.

- 15.2 **APPLICABLE DOCUMENTS:**
NPR 1600.1 *NASA Security Program Procedural Requirements*

- 15.3 **CONTENTS:** The Position Risk Designation for Non-NASA Employee shall contain the following information for each employee: Social Security Number (SSN), Last Name, First name, Middle Suffix, Date of Birth, City of Birth, County of Birth, State of Birth, Country of Birth, E-mail address, Telephone Number, Mission Essential Infrastructure (MEI) Required, Personnel Reliability Program (PRP) Required and Remote IT Access Only.

- 15.4 **FORMAT:** The Spreadsheet shall be provided in Microsoft Excel electronically via CD, delivered directly to Protective Services, or Encrypted Email (no other means of transmittal will be accepted).

- 15.5 **MAINTENANCE:** None required

DATA REQUIREMENTS DESCRIPTION (DRD)

1. **DPD NO.:** 1107 **ISSUE:** Revision B
2. **DRD NO.:** **1107SA-001**
3. **DATA TYPE:** 1
4. **DATE REVISED:**
5. **PAGE:** 1/2

6. **TITLE:** Personnel Training and Certification Plan

7. **DESCRIPTION/USE:** To provide the contractor and the Government a baseline document for definition of training and personnel certification criteria and procedures to be implemented.

8. **OPR:** QD40 9. **DM:** QD01

10. **DISTRIBUTION:** Per Contracting Officer's letter

11. **INITIAL SUBMISSION:** Ten (10) days after Authority to Proceed (ATP)

12. **SUBMISSION FREQUENCY:** Update as required

13. **REMARKS:**

14. **INTERRELATIONSHIP:** PWS paragraph 2.5

15. **DATA PREPARATION INFORMATION:**
- 15.1 **SCOPE:** The Personnel Training and Certification Plan provides for training, certification, and re-certification of personnel engaged in hazardous operations and performance of critical processes. The purpose of a training and certification program is to assure that all personnel are capable of performing their duties and work assignments without endangering themselves, fellow employees, equipment and/or facilities.

- 15.2 **APPLICABLE DOCUMENTS:**

MPR 8715.1	<i>Marshall Safety, Health, and Environmental (SHE) Program</i>
MPR 3410.1	<i>Training</i>
MWI 3410.1	<i>Personnel Certification Program</i>
MWI 3410.2	<i>Personnel Certification for NDE</i>
QD10-QA-022	<i>Visual Weld Inspection</i>
ANSI B31.1	<i>Code for Power Piping</i>
ANSI B31.3	<i>Code for Chemical Plant and Refinery Piping</i>
ANSI/AWS D1.1	<i>Structural Welding Code/Steel</i>
ANSI/AWS D1.2	<i>Structural Welding Code/Aluminum</i>
NPR 8715.3	<i>NASA Safety Manual</i>

- 15.3 **CONTENTS:** The Personnel Training and Certification Plan shall include criteria which relate to work classification and skills, education, experience, training, and other qualifications necessary to assure safe and efficient operation and maintenance of inspection and test stand systems and high quality workmanship. The plan shall fulfill the requirements of the applicable documents listed in 15.2 and include:
 - a. Training and certification program.
 1. General.
 - (a) Program description.
 - (b) Program administration.
 - (c) Certification duration.
 - (d) Definitions.
 - (e) Job description summaries.
 - (f) Task assignments per job description.
 - (g) Skills required per job description.

DRD Continuation Sheet

TITLE: Personnel Training and Certification Plan

DRD NO.: 1107SA-001

DATA TYPE: 1

PAGE: 2/2

15. **DATA PREPARATION INFORMATION (CONTINUED):**

2. Certification requirements/skills.
 - (a) Education.
 - (b) Experience/work history.
 - (c) Specialized training.
 - (d) Physical condition/attitude.
3. Certification process.
 - (a) Supervision responsibilities.
 - (b) Certifying authority.
 - (c) Formal/informal examination.
 - (d) Proficiency demonstration.
4. Certification documentation.
- b. Specific skills requiring training and proficiency shall include:
 1. Schematic and drawing comprehension.
 2. Test and launch operations.
- c. Specific skills requiring certification and proficiency shall include:
 1. Solid propellant inspection *.
 2. Confined space *.
 3. Welding inspection and nondestructive evaluation (NDE).
 4. Program Critical Hardware (PCH) *.
 5. Lifting Equipment Training Certified Examiner.
 6. Propellant and Explosive Handler *.
 7. Risk Management Course Instructors (NASA Headquarters provided training, travel required).

* Training provided by the Government at MSFC.

15.4 **FORMAT:** Contractor format is acceptable.

15.5 **MAINTENANCE:** Changes shall be incorporated by change page or complete reissue.

DATA REQUIREMENTS DESCRIPTION (DRD)

1. **DPD NO.:** 1107 **ISSUE:** Revision B
2. **DRD NO.:** **1107SA-002**
3. **DATA TYPE:** 2
4. **DATE REVISED:**
5. **PAGE:** 1/3

6. **TITLE:** Safety, Health, and Environmental (SHE) Plan

7. **DESCRIPTION/USE:** To provide the contractor and the Government a baseline document for planning, management, control, and implementation of the contractor's industrial/occupational safety, health, and environmental program in accordance with NFS 1852.223-73.

8. **OPR:** AS10/QD12 9. **DM:** QD01

10. **DISTRIBUTION:** Per Contracting Officer's letter

11. **INITIAL SUBMISSION:** Preliminary with proposal

12. **SUBMISSION FREQUENCY:** Ten days after Authority to Proceed (ATP); update as required

13. **REMARKS:**

14. **INTERRELATIONSHIP:** NFS 1852.223-70, *Safety and Health*; NFS 1852.223-73, *Safety and Health Plan*; FAR 52.223-10, *Waste Reduction Program*. DRD 1107SA-003, *Mishap and Safety Statistics Report*. PWS paragraph 2.3

15. **DATA PREPARATION INFORMATION:**
- 15.1 **SCOPE:** The Safety, Health, and Environmental Plan describes the contractor's method of implementing occupational safety, health, and environmental standards over the duration of the contract.
- 15.2 **APPLICABLE DOCUMENTS:** Compliance with the following Occupational Safety and Health Standards and applicable requirements shall be specified in the plan (if applicable to the scope of this contract).

29 CFR 1910	<i>Department of Labor; Occupational Safety and Health Administration Standards for General Industry</i>
29 CFR 1926	<i>Department of Labor; Occupational Safety and Health Administration Standards for Construction Industry</i>
40 CFR	<i>Protection of the Environment</i>
ANSI Standards applicable to the scope of this contract	
<i>ASME Boiler and Pressure Vessel Code</i>	
MPR 1040.3	<i>MSFC Emergency Plan</i>
MPR 1840.3	<i>MSFC Hazardous Chemicals in Laboratories Protection Program</i>
MPR 1840.1	<i>MSFC Confined Space Entries</i>
MPD 1860.2	<i>MSFC Radiation Safety Program</i>
MPR 1810.1	<i>MSFC Occupational Medicine</i>
MPD 1840.3	<i>MSFC Respiratory Protection Program</i>
MPD 1840.2	<i>MSFC Hearing Conservation Program</i>
MPD 1840.1	<i>MSFC Environmental Health Program</i>
MPR 1840.2	<i>MSFC Hazard Communication Program</i>
MPD 1860.1	<i>Laser Safety</i>
MPR 1800.1	<i>Bloodborne Pathogens</i>
MWI 3410.1	<i>Personnel Certification Program</i>
MPR 8715.1	<i>Marshall Safety, Health and Environmental (SHE) Program</i>
MPD 8900.1	<i>Medical Operations Responsibilities for Human Space Flight Programs</i> (NOTE: This document only applies to Space Station contracts)

DRD Continuation Sheet

TITLE: Safety, Health, and Environmental (SHE) Plan

DRD NO.: 1107SA-002

DATA TYPE: 2

PAGE: 2/3

15. **DATA PREPARATION INFORMATION (CONTINUED):**

NFPA Standards	<i>National Fire Codes</i>
NPR 8715.3	<i>NASA Safety Manual</i>
NASA-STD-8719.11	<i>Safety Standard for Fire Protection</i>

15.3 **CONTENTS:** The Safety, Health, and Environmental Plan shall describe the manner in which the contractor implements the requirements of the applicable documents as they pertain to the specific statement of work tasks to be performed and updated when necessary. The Safety, Health and Environmental Plan shall clearly state if the contracted effort contain potentially hazardous or non-hazardous operations and fully address the following applicable topics:

- a. Management leadership and employee involvement:
 1. Statement of management policy and commitment to provide for the safety and health of personnel (i.e., employees, customers, and public) and property, and compliance with EPA, OSHA and NASA requirements.
 2. Description of procedures for insuring management and employees are held accountable for implementing their task in a safe and healthful manner through motivational techniques, disciplinary program, or other innovative techniques.
 3. Descriptions of safety, health, environmental awareness and motivation programs that, include documented safety meetings and safety awareness training for employees. (Onsite Safety meeting statistics shall be documented in the Supervisors Safety Web page: http://msfcsma3.msfc.nasa.gov/dbwebs/apps/sswp/SSWP_login.taf)
 4. Method of program evaluation that, identify the methods and frequency for internal evaluation of the safety, health, and environmental program.
 5. Method to ensure the Flowdown of safety responsibilities between all company levels and subcontractors, when applicable.
 6. Identification by title the individual who will be responsible for the implementation of the SHE program elements.
 7. Method to ensure compliance with MPR 8715.1, when work will be performed onsite at MSFC.
- b. System and worksite analysis:
 1. Methods of hazard identification, e.g., hazard analysis, safety assessment, change analysis, risk assessment and employee identified concerns.
 2. Descriptions of OSHA programs that require documented programs (e.g., Respiratory Protection, Hazard Communication, Confined Space, and Lockout/Tagout, etc. Include the interrelationships with the MSFC programs.) (Note: Only programs applicable to the contracted effort need to be addressed.)
 3. Requirements for formal worksite safety inspections as required by OSHA, to including schedule and documentation requirements. Onsite OSHA inspections are performed by NASA.
 4. Requirements for documented supervisors' safety visits. Onsite safety visits shall be performed once per month per supervisor and documented in the Supervisors Safety Web page.
- c. Hazard prevention and control:
 1. Methods to identify potentially hazardous operations and generate plans, procedures, and other working documents which clearly identify the hazardous situations and the necessary cautions taken to mitigate the hazard; an annual review of the plans and procedures; and, MSFC Safety Department concurrence for onsite hazardous procedures. A list of identified potentially hazardous operations will be provided in the SHE plan.
 2. Method of ensuring controls over the procurement, storage, issuance, and use of hazardous substances and procedures for recycling and disposal of hazardous waste in accordance with MPR 8500.1.
 3. Method of ensuring a documented emergency management program. Include a list of emergency points of contract. (Note: Onsite contractors may use MPR 1040.3.)
 4. Method of investigating all mishaps and close calls to determine root cause, including an outline of reporting requirements. (Reference DRD 1107SA-003, *Mishap and Safety Statistics Report*).

DRD Continuation Sheet

TITLE: Safety, Health, and Environmental (SHE) Plan

DRD NO.: 1107SA-002

DATA TYPE: 2

PAGE: 3/3

15. **DATA PREPARATION INFORMATION (CONTINUED):**

5. Method for providing safety, health, and environmental services applicable to the contracted effort such as hazardous waste disposal, industrial hygiene monitoring, emergency medical support, hearing conservation program, and hazard communication. (These services can be provided by MSFC for onsite work.)
6. Method for employees to suspend work where safety or environmental conditions warrant such action.
- d. Safety and health training:
 1. Method for training each employee to recognize hazards, avoid accidents, know the hazards specific to their job, and understand the disciplinary program.
 2. Method for training and certification of personnel performing potentially hazardous operations. Identify the job categories under the contracted effort that require certification in accordance with MWI 3410.1, "Personnel Certification Program". Personnel Certification for onsite identified job categories shall be tracked in the MSFC Certification Database (CERTRAK) in accordance with MWI 3410.1. (NOTE: offsite contracts shall list the job categories under the contracted effort that require OSHA documented training and certification.)
- e. Environmental compliance - Provisions for compliance with environmental laws and regulations by: reporting hazardous and toxic substance use; implementing and reporting green procurements in accordance with MWI 8540.2; reducing, reusing, and recycling of hazardous and toxic substances prior to disposal; minimizing stormwater pollution; ensuring equipment and processes permitted by applicable laws; and disposing of solid and liquid materials as permitted by applicable laws.

15.4 **FORMAT:** Contractor format is acceptable.

15.5 **MAINTENANCE:** Changes shall be incorporated by change page or complete reissue.

DATA REQUIREMENTS DESCRIPTION (DRD)

1. **DPD NO.:** 1107 **ISSUE:** Revision B
2. **DRD NO.:** **1107SA-003**
3. **DATA TYPE:** 3
4. **DATE REVISED:**
5. **PAGE:** 1/2

6. **TITLE:** Mishap and Safety Statistics Reports

7. **DESCRIPTION/USE:** To provide reporting of metrics, mishaps, close calls, and serious non-occupational injuries or illnesses.

8. **OPR:** QD50 9. **DM:** QD01

10. **DISTRIBUTION:** Per Contracting Officer's letter

11. **INITIAL SUBMISSION:**
 - a. Safety Statistics (e.g., contract number, subcontractors, NAIC codes, number of employees, number of supervisors, hours worked, etc.): submitted on MSFC Form 4371 by the 10th of each month following Authority to Proceed (ATP).
 - b. Mishaps, Close Calls, and serious non-occupational injuries or illnesses
 1. Type A or B mishaps, high visibility mishaps or close calls, and onsite Type C lost time injury or illness: Immediate telephone notification to the Contracting Officer, and Industrial Safety (256-544-0046 or 4-HELP, Safety Option) so that Center Director notifies the NASA Administrator within 24 hours of occurrence or awareness. Include location and time of incident, number of fatalities, number hospitalized, type of damage, estimated cost, brief description, and contact person and phone number.
 2. Non-occupational fatality or serious injury occurring onsite or to an onsite contractor employee: Notification to Contracting Officer and S&MA so that Center Director notifies the NASA Administrator within 24 hour of occurrence or awareness. (Offsite non-occupational injury or illness notification is at the discretion of the family.)
 3. a. All Onsite MSFC mishaps and close calls: (applicable to onsite contractors only): NASA Initial Safety Incident Report within 4 hours of occurrence or awareness on MSFC Form 4370 or equivalent either by telephone 256-544-4357 (4-HELP); Safety Option or electronically by Quick Incident. Report at https://msfcsma3.msfc.nasa.gov/s&ma_01/mishap/index.htm.
 b. Offsite Mishaps and Close Calls Type C and below: Initial notification by next MSFC 4371.
 4. All Mishaps (Type A, B, C, Incidents and Close Calls): Mishap Report NASA Form 1627 or electron update of NASA Incident Reporting Information System (IRIS) record within 6 calendar days of Mishap.
 5. Type A, B, and Close Calls with high Type A or B potential: Mishap Board Report after completion of investigation.
 6. All Mishaps: Monthly Follow-up Corrective Action Plan/Status as required until closed.

12. **SUBMISSION FREQUENCY:**
 - a. MSFC Form 4370 or electronic equivalent - Each occurrence of a mishap except as identified in section 11.b.
 - b. NASA Form 1627 or electronic equivalent - Each occurrence of a mishap. Corrective action status reports are due every 30 days until the final report is submitted.
 - c. MSFC Form 4371 - By the 10th of each month.
 - d. Mishap Board Report – Each occurrence of a Type A or B mishap, or as directed by Center management.

13. **REMARKS:**

14. **INTERRELATIONSHIP:** DRD 1107SA-002, *Safety, Health, and Environmental (SHE) Plan*. PWS paragraph 2.3

DRD Continuation Sheet**TITLE:** Mishap and Safety Statistics Reports**DRD NO.:** 1107SA-003**DATA TYPE:** 3**PAGE:** 2/2

15. DATA PREPARATION INFORMATION:

15.1 **SCOPE:** The Mishap and Safety Statistics Reports document all mishaps and close calls as required in NPR 8621.1.

15.2 APPLICABLE DOCUMENTS:

NPR 8621.1 *NASA Procedural Requirements for Mishap Reporting, Investigating, and Recordkeeping*

MWI 8621.1 *Close Call and Mishap Reporting and Investigation Program*

15.3 **CONTENTS:** The Mishap and Safety Statistics Reports shall contain the information required by NPR 8621.1 and MWI 8621.1. The contractor shall use the forms listed in 15.4 to report mishaps and related information required to produce the safety metrics.

15.4 **FORMAT:** The following formats or electronic equivalent shall be submitted:

- a. MSFC Form 4370, "MSFC Flash Mishap Report."
- b. NASA Form 1627, "NASA Mishap Report."
- c. MSFC Form 4371, "MSFC Contractor Accident and Safety Statistics."
- d. Mishap Board Report using the format provided in NPR 8621.1.

15.5 **MAINTENANCE:** None required

NNM07AA74C

CONTRACT/RFP

EXHIBIT NUMBER

J-2

ATTACHMENT NUMBER

Safety and Mission Assurance Services

PROJECT/SYSTEM

DATA PROCUREMENT DOCUMENT

Hernandez Engineering, Inc.

CONTRACTOR

March 26, 2008

DATE

National Aeronautics and
Space Administration

National Aeronautics and Space Administration					DATA PROCUREMENT DOC.	
DOCUMENT CHANGE LOG					NO.	ISSUE
					1107	Revision B
INCORPORATED REVISIONS OUTSTANDING REVISIONS				AS OF: 03-26-08	SUPERSEDING: 07-12-07	PAGE:
AUTHORITY	PORTION AFFECTED - PAGE NO./NO.				REMARKS	
	INTRO	SGR	DRL	DRD		
Contract Mod 4				X	Added the following DRD: 1107MA-012, Position Risk Designation for Non-NASA Employee	
Contract Mod. 014			X	X	Deleted the following DRD: 1107CD-001, Information Technology Security Program Plan	

National Aeronautics and Space Administration			DATA PROCUREMENT DOC.		
PAGE REVISION LOG			NO.	ISSUE	
			1107	Revision B	
NOTE: The current revision is denoted by a vertical line in the outer margin adjacent to the affected text.		AS OF: 03-26-08	SUPERSEDING: 07-12-07	PAGE:	
INSERT LATEST REVISED PAGES. DISCARD SUPERSEDED PAGES.					
ITEM	PAGE	STATUS	ITEM	PAGE	STATUS
DPD	ALL	Revision B			

1.0 INTRODUCTION

1.1 Scope: Subject to the Rights in Data clause, this Data Procurement Document (DPD) sets forth the data requirements in each Data Requirements Description (DRD) and shall govern that data required by the DPD for the contract. The contractor shall furnish data defined by the DRD's listed on the Data Requirements List (DRL) by category of data, attached hereto, and made a part of this DPD. Such data shall be prepared, maintained, and delivered to NASA in accordance with the requirements set forth within this DPD. In cases where data requirements are covered by a Federal Acquisition Regulation (FAR) or NASA FAR Supplement (NFS) clause, that clause shall take precedence over the DPD, consistent with clause FAR 52.215-8.

1.2 DPD Description: This DPD consists of a Document Change Log, a Page Revision Log, an Introduction, a Statement of General Requirements, DPD maintenance procedures, a DRL, and the DRD's.

1.2.1 General Requirements: The general requirements, as specified in paragraph 2.0 of this DPD, prescribe those requirements applicable to the preparation, maintenance, and delivery of data that are better defined in aggregate than in the individual DRD's.

1.2.2 Data Requirements List (DRL): Throughout the performance of the contract, the DRL provides a listing by data category of the data requirements of the DPD.

1.2.3 Data Requirements Descriptions (DRD's)

1.2.3.1 Each data requirement listed on the DRL is given complete definition by a DRD. The DRD prescribes content, format, maintenance instructions, and submittal requirements.

1.2.3.2 For the purpose of classification and control, DRD's of this DPD are grouped into the following broad functional data categories:

<u>CATEGORY SYMBOL</u>	<u>DESCRIPTION</u>
LS	Logistics Support
MA	Management
SA	Safety

1.2.3.3 The symbols representing these data categories form part of the prefix of the DRD identification number. The first numerical characters reflect the DPD number.

1.2.3.4 To facilitate the usage and maintenance of the DPD, the DRD's have been sectionalized in accordance with the above data categories.

1.2.3.5 The DRD's are filed by data category and are in alpha-numeric sequence as listed on the DRL page (or pages) that precedes the DRD's.

1.2.4 Document Change Log (DCL) and Page Revision Log (PRL): The Document Change Log chronologically records all revision actions that pertain to the DPD. The Page Revision Log describes the current revision status of each page of the DPD and thus, at all times, provides its exact configuration.

1.2.5 DPD Maintenance Procedures: Maintenance procedures define the detailed methods to be employed in maintaining the DPD. Detailed maintenance procedures are specified in paragraph 3.0 of this DPD.

1.3 Data Types for Contractual Efforts: The types of data and their contractually applicable requirements for approval and delivery are:

<u>TYPE</u>	<u>DESCRIPTION</u>
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1* All issues and interim changes to those issues require written approval from the requiring organization before formal release for use or implementation.

- 2* NASA reserves a time-limited right to disapprove in writing any issues and interim changes to those issues. The contractor shall submit the required data to NASA for review not less than 45 calendar days** prior to its release for use. The contractor shall clearly identify the release target date in the "submitted for review" transmittal***. If the data is unacceptable, NASA will notify the contractor within 45 calendar days** from the date of submission, regardless of the intended release date***. The contractor shall resubmit the information for reevaluation if disapproved. The submittal is considered approved if the contractor does not receive disapproval or an extension request from NASA within 45 calendar days**.
- 3 These data shall be delivered by the contractor as required by the contract and do not require NASA approval. However, to be a satisfactory delivery, the data shall satisfy all applicable contractual requirements and be submitted on time.
- 4 These data are produced or used during performance of the contract and are retained by the contractor. They shall be delivered only when NASA requests in writing and shall be delivered in accordance with the instructions in the request. The contractor shall maintain a list of these data and shall furnish copies of the list to NASA when requested to do so.
- 5 These data are incidental to contract performance and are retained by the contractor in those cases where contracting parties have agreed that formal delivery is not required. However, the Contracting Officer or the Contracting Officer's Representative shall have access to and can inspect this data at its location in the contractor's or subcontractor's facilities, or in an electronic database accessible to the Government
- 2.□.□ Note: Type 1 and Type 2 data may be placed under NASA configuration management control when designated by NASA. CM control requires the contractor to submit Type 1 and Type 2 data updates through Engineering Change Proposals (ECPs).
- ** Note: This time limit may be tailored for individual DPD's to meet the requirements of the procuring activity.
- *** Note: If the contractor does not identify a release target date or if the intended release date is shorter than 45 calendar days from the date of submission, the 45 calendar days review cycle stands (or the tailored Type 2 time limitation for the specific procurement).

2.0 STATEMENT OF GENERAL REQUIREMENTS

- 2.2.□ Applicable/Reference Documents: Documents included as applicable documents in this DPD are the issue specified in the Statement of Work, and form a part of the DPD to the extent specified herein. Applicable documents listed in Item 15.2 of a DRD are applicable only to the preparation of the deliverable documentation described by that DRD.

References to documents other than applicable documents in the data requirements of this DPD may sometimes be utilized, and shall be indicated in 13. Remarks of the DRD. These do not constitute a contractual obligation on the contractor. They are to be used only as a possible example or to provide related information to assist the contractor in developing a response to that particular data requirement.

2.2 Subcontractor Data Requirements

- 2.2.1 The contractor shall specify to subcontractors and vendors, if any, the availability source of all data required for the satisfactory accomplishment of their contracts. The contractor shall validate these requirements for documents when appropriate; where the requirement concerns other contractor data, the contractor shall provide his subcontractor or vendor with the necessary documents. All such requests shall be accomplished under the auspices of the contractor.

2.2.2 Reference to subcontractor data in the contractor's responses is permissible, providing the references are adequate and include such identification elements as title, number, revision, etc., and a copy of the referenced data is supplied with the response document at time of delivery to NASA.

2.3 Data Distribution, Format, Data Restriction Marking, and Transmittal

2.3.1 Distribution: Distribution of required documentation shall be in quantities determined by the Contracting Officer. Recipient names and email (if applicable) addresses shall be noted on a separate distribution list to be furnished by the Contracting Officer. The Contracting Officer's letter may include other information pertinent to delivery of data, as required.

2.3.2 Format

2.3.2.1 Electronic Format: Electronic submission of data deliverables is preferred. Electronic deliverables shall be printable. Data deliverables shall be delivered to NASA in the format specified below unless a specific format is required by a DRD. Data submittals shall consist of a single Adobe Acrobat PDF file and the native format electronic file(s). The preferred native formats include Microsoft Word, Excel, PowerPoint or CAD drawing plot file, as appropriate. Where a single native format file is not possible, multiple files may be integrated into a single ZIP file for submission. The organization of the contents of the integrated ZIP file shall be made readily apparent to the reader, and each file within the integrated product shall be clearly identifiable and traceable within the organization of the integrated product. If files are fragmented, file names shall be labeled logically and contiguously, and the files shall be easily reassembled or merged (e.g. 1 filename, 2 filename, 2a filename, etc.). The software versions shall be confirmed prior to submittals.

2.3.2.2 Hardcopy Format: In addition to the electronic submittal, one hardcopy package of specific data deliverables shall be delivered to the NASA Contracting Officer for the Government contract file. This requirement is indicated in Item 15.4, Format of each DRD. The hardcopy package shall consist of the contractor's Transmittal Memo and one copy of the data deliverable.

2.3.3 Data Restriction Marking

2.3.3.1 Data Restriction Determination and Marking Requirements: The contractor shall determine the data restriction that applies to each data deliverable and mark the data restriction on the data coversheet, or indicate the data restriction in the data transmittal package if the data format precludes identification of data restriction directly in the data. The contractor shall make a determination for each individual data deliverable item, and shall not apply a default or blanket data restriction marking to all data deliverables (e.g., "data may be export restricted"). If NASA does not agree with the contractor applied data restriction, the NASA Contracting Officer shall return the data to the contractor, cancel the markings, or ignore the markings consistent with the procedures set forth in the "data rights" clause(s) contained in the contract.

2.3.3.2 Data Restriction Categories and Marking Statements: The contractor shall consider the following data restriction categories, as a minimum, and utilize specified marking statements.

If data delivered under this contract is subject to the International Traffic in Arms Regulations (ITAR), the data shall contain an "ITAR Notice" as follows:

International Traffic in Arms Regulations (ITAR) Notice

This document contains information which falls under the purview of the U.S. Munitions List (USML), as defined in the International Traffic in Arms Regulations (ITAR), 22 CFR 120-130, and is export controlled. It shall not be transferred to foreign nationals in the U.S. or abroad, without specific approval of a knowledgeable NASA export control official, and/or unless an export license/license exemption is obtained/available from the United States Department of State. Violations of these regulations are punishable by fine, imprisonment, or both.

If data delivered under this contract is subject to the Export Administration Regulations (EAR), the data shall contain the “EAR Notice” as follows:

Export Administration Regulations (EAR) Notice

This document contains information within the purview of the Export Administration Regulations (EAR), 15 CFR 730-774, and is export controlled. It may not be transferred to foreign nationals in the U.S. or abroad without specific approval of a knowledgeable NASA export control official, and/or unless an export license/license exception is obtained/available from the Bureau of Export Administration (BXA), United States Department of Commerce. Violations of these regulations are punishable by fine, imprisonment, or both.

If the contract contains FAR 52.227-14 *Alternate II*, the “Limited Rights Notice” may be applicable to data (other than computer software) delivered under this contract.

If the contract contains FAR 52.227-14 *Alternate III*, the “Restricted Rights Notice” may be applicable to computer software delivered under this contract.

If the contract contains FAR 52.227-20, the “SBIR Rights Notice” may be applicable to SBIR data delivered under this contract.

In accordance with the applicable data clause (e.g., FAR 52.227-14(c) or FAR 52.227-20(c)), the contractor may be able to assert a copyright claim in data delivered under this contract. When claim to copyright is made, the Contractor shall affix the applicable copyright notices of 17 U.S.C. 401 or 402 and acknowledgment of Government sponsorship (including contract number) to the data when such data are delivered to the Government.

2.3.4 Transmittal

2.3.4.1 Data shall be transmitted to NASA by email, CD or DVD, hardcopy, or other mechanism agreed to by the Contracting Officer, COTR, and Project representatives who are responsible to receive, index, and store the data deliverables.

2.3.4.2 If email is used to transmit data deliverables, the email size shall be 10 Megabytes or less to ensure receipt by the NASA email servers. Encrypted email format shall be used to transmit data which has been judged sensitive by the contractor (e.g., export controlled, limited rights data, SBIR, restricted computer software, copyrighted, etc.).

2.3.4.3 Data Transmittal Package: Each data transmittal package shall include:

- a. Transmittal memorandum that specifies the meta-data below for each data transmittal:
 1. Contract number.
 2. Data Requirements Description (DRD) number.
 3. DRD data type (specified in Item 3 on the DRD).
 4. Submission date or milestone being satisfied.
 5. Document number and revision.
 6. Document title.
 7. File names of all files being delivered; file naming convention shall clearly identify the document being delivered.
 8. Distribution (as defined by the Contracting Officer’s letter).
 9. Requested response date.
 10. Contractor assigned data restriction (export controlled, limited rights data, SBIR, restricted computer software, copyrighted, etc.) if not marked on data.
 11. NASA Records Retention Schedule (NRRS) number, if applicable. (See NPR 1441.1, NASA Records Retention Schedules)
- b. Printable electronic files or hardcopy data.

- 2.3.5 Use of the MSFC Documentation Repository: If Program/Project requires the contractor to transmit data directly to the Repository, Marshall Policy Directive (MPD) 2210.1 specifies the requirements for utilizing the Documentation Repository. Electronic data deliverables should be transmitted directly to the Repository via a secure web page, available at <https://webpub.nis.nasa.gov/submittal/index.html>. Computer-Aided Design (CAD) drawings shall be submitted in the original native vector, Hewlett-Packard Graphic Language (HPGL) and raster image formats.
- 2.4 Printing: All printing, duplicating, or binding shall be in accordance with NFS 1852.208-81, Restrictions on Printing and Duplicating. Printing of formal reports and Type 1 and 2 data in book format shall be in accordance with the following general specifications:
- Method of reproduction – offset/xerography.
 - Finished size – 8 1/2” X 11”.
 - Paper – 20-pound opaque bond.
 - Cover – Litho cover stock.
 - Pages shall be printed on both sides; blank pages shall be avoided when possible.
 - Oversize pages shall be avoided when possible, but if necessary shall be folded to 8 1/2” X 11”.
 - Binding shall be the most economical method commensurate with the size of the report and its intended use.
- 2.5 Contractor’s Internal Documents: The contractor’s internal documents shall be used to meet the data requirements of this DPD unless a specific format is required by the applicable DRD.
- 2.6 Document Identification: Type 1 and 2 documents published by the contractor and submitted in response to the data requirements of this DPD shall be identified within an organized identification numbering system prescribed to NASA by the contractor and, if applicable, as approved by NASA. For all data types, the document number, change legend, date, and title constitute the minimum identification of the specific document and shall appear on the cover and title page. The contract number shall also appear on the cover and title page as separate markings. The originator and organization shall be included on the title page. The document number, change legend, and date shall appear on each page of the document. In the front matter of each document, identify the DPD number and applicable DRD number(s) required for document preparation. Successive issues or revisions of documents shall be identified in the same manner as the basic issue and shall have appropriate change identification. Drawings and ECP's are excluded from the marking provisions of this paragraph. All Type 1 documentation, excluding configuration management requirements, shall be marked “PRELIMINARY PENDING NASA APPROVAL,” and once approved shall be reissued with “APPROVED BY NASA” and the date and approval authority annotated on the cover.
- 2.7 Reference to Other Documents and Data Deliverables in Data Submittals: All referenced documents shall be made readily available to the cognizant NASA organization upon request. The contractor should make sure that the references are available to NASA in a manner which does not incur delays in the use of the response document. Reference may be made, within one data submittal, to other data submittals delivered in response to this DPD in those cases where the data required by one DRD may have been delivered by the contractor in response to another DRD. The reference to previously-submitted data shall include the applicable DRD number, data submittal version date, and location within the referenced document.
- 2.8 Maintenance of Type 1 Document Submittals
- 2.8.1 Revisions of Type 1 documentation may be accomplished either by individual page revision or by a complete reissue of the document identified in accordance with requirements of 2.7 above, with the exception of drawings (which shall be revised in accordance with contract configuration management requirements).
- 2.8.2 Individual page revisions shall be made as deemed necessary by the contractor or as directed by the Contracting Officer.

- 2.8.3 A Type 1 document shall be completely reissued when, in the opinion of the contractor and/or NASA, the document has been revised to the extent that it is unusable in its present state, or when directed by the Contracting Officer. When complete reissues are made, the entire contents of the document shall be brought up to date and shall incorporate revised pages. All revisions shall be recorded. A revision log shall identify complete reissues except for periodic reports and documents which are complete within themselves as final.
- 2.8.4 Changes of a minor nature to correct obvious typing errors, misspelled words, etc., shall only be made when a technical change is made, unless the accuracy of the document is affected.
- 2.8.5 All revised pages shall be identified by a revision symbol and a new date. Each document shall contain a log of revised pages that identify the revision status of each page with the revision symbol. This list shall follow the table of contents in each document. The line or lines revised on a given page shall be designated by the use of vertical line in the margin of the page, and the change authority shall be indicated adjacent to the change.
- 2.8.6 Contractor Type 1 documents shall not be submitted containing pen and ink markups which correct, add to, or change the text, unless schedule problems exist and approval is obtained in writing from the Contracting Officer. Such markups, however, shall not exceed 20 percent of the page content and shall be acceptable provided that the reproduced copies are legible. In addition, hand-drawn schematics, block diagrams, data curves, and similar charts may be used in original reports in lieu of formally prepared art work, as long as legibility of copies is not impaired. Acceptability shall be determined by the Contracting Officer.
- 3.0 DPD MAINTENANCE PROCEDURES
- 3.1 NASA-Initiated Change: New and/or revised data requirements shall be incorporated by contract modification to which the new or revised portion of the DPD shall be appended. The contractor shall notify the Contracting Officer in the event a deliverable data requirement is imposed and is not covered by a DRD, or when a DRD is changed by a contract modification and for which no revision to DPD is appended. In such cases, the contractor shall submit the requested changes to NASA for approval. See paragraph 3.3.1 for change procedures.
- 3.2 Contractor-Initiated Change: Contractor-proposed data requirements, or proposed changes to existing requirements shall be submitted to NASA for approval.
- 3.3 DPD Change Procedures
- 3.3.1 Changes to a contractual issue of this DPD shall be identified by NASA on the Document Change Log and Page Revision Log. The actual revised material on the DPD page shall be identified by placing a heavy vertical line in the right-hand margin extending the entire length of the change. In addition, the numerical control number of the contractual direction authorizing the change shall be placed adjacent to the vertical revision line. These revision identifiers shall be used to reflect the current revision only; any previous symbols on a page shall be deleted by the current revision.
- 3.3.2 The date of the contractual direction paper, e.g., Change Order, Supplemental Agreement, or Contracting Officer's letter shall be entered under the "Status" column of the Page Revision Log adjacent to the affected page or DRD number, and in the "as of" block. The date that was in the "as of" block shall be entered in the "Superseding" block.
- 3.3.3 The Document Change Log entitled "Incorporated Revisions" shall be changed to indicate the number, portions affected, and associated Supplemental Agreement number, if applicable.
- 3.3.4 The Document Change Log entitled "Outstanding Revisions" is changed periodically to indicate outstanding Change Orders and Contracting Officer notification letters.

3.4 DPD Reissues

- 3.4.1 When conditions warrant, the DPD shall be reissued by NASA and shall supersede the existing DPD in its entirety. Reissues shall be issued by contractual direction.
- 3.4.2 All revision symbols (vertical lines and contractual direction control numbers) shall be removed from all pages; revision dates shall remain in the Date Revised block on DRD's that have been revised. The issue symbol, which shall commence with "A" and progress through "Z," shall be entered in the DPD identification block of each DRD page of the DPD.

Safety and Mission Assurance Services

Data Requirements List

<u>DRD</u>	<u>DATA TYPE</u>	<u>TITLE</u>	<u>OPR</u>
CD - Contract Data			
1107CD-001	2	Information Technology Security Plans	IS10
LS – Logistics Support			
1107LS-001	2	Government Property Management Plan	AS41
MA - Management			
1107MA-001	1	Management Plan	QD01
1107MA-002	2	Evaluation and Assessment Reports	QD01
1107MA-003	2	MSFC Safety, Reliability, Maintainability and Quality Assurance (SRM&QA) Documents	QD01
1107MA-004	2	Problem Assessment Center (PAC) Operations Plan	QD01
1107MA-005	2	Management Status Review (MSR) Input	QD01
1107MA-006	2	Organizational Conflict of Interest (OCI) Avoidance Plan	PS33
1107MA-007	3	Contractor Employee Clearance Document	AS50
1107MA-008	3	Financial Management Report (533M and 533Q)	CS40
1107MA-009	3	Bi-weekly Notes	QD01
1107MA-010	3	Badged Employee and Remote IT User List	AS50
1107MA-011	3	Make or Buy Plan	QD01
1107MA-012	3	Position Risk Designation for Non-NASA Employee(s)	AS50
SA - Safety			
1107SA-001	1	Personnel Training and Certification Plan	QD40
1107SA-002	2	Safety, Health, and Environmental (SHE) Plan	QD12/AS10
1107SA-003	3	Mishap and Safety Statistics Reports	QD12

DATA REQUIREMENTS DESCRIPTION (DRD)

1. **DPD NO.:** 1107 **ISSUE:** Revision B
2. **DRD NO.:** **1107LS-001**
3. **DATA TYPE:** 2
4. **DATE REVISED:**
5. **PAGE:** 1/1
6. **TITLE:** Government Property Management Plan
7. **DESCRIPTION/USE:** To describe the method of controlling and managing Government property.
8. **OPR:** AS41 9. **DM:** QD01
10. **DISTRIBUTION:** Cognizant property administrator
11. **INITIAL SUBMISSION:** Preliminary three months after Authority to Proceed (ATP)
12. **SUBMISSION FREQUENCY:** Final one year after ATP, revise as required
13. **REMARKS:** This document shall be the official contract requirements document for the control and identification of all Government property.
14. **INTERRELATIONSHIP:** PWS paragraph 2.2
15. **DATA PREPARATION INFORMATION:**
- 15.1 **SCOPE:** The Government Property Management Plan defines the contractor's methods of care, accounting, and control of Government property.
- 15.2 **APPLICABLE DOCUMENTS:**

FAR	<i>Federal Acquisition Regulation, Part 45</i>
NPR 5100.4B	<i>Federal Acquisition Regulation Supplement, (NASA/FAR Supplement) Part 18-45 and latest revisions thereto</i>
- 15.3 **CONTENTS:** The Government Property Management Plan shall satisfy the requirements of the documents listed in 15.2, and the contract. This plan shall consist of those procedures which constitute the contractor's property management system and shall include the following categories:

a. Property management.	i. Reports.
b. Acquisition.	j. Consumption.
c. Receiving.	k. Utilization.
d. Identification.	l. Maintenance.
e. Records.	m. Subcontractor control.
f. Movement.	n. Disposition.
g. Storage.	o. Contract close-out.
h. Physical inventories.	
- 15.4 **FORMAT:** Contractor format is acceptable.
- 15.5 **MAINTENANCE:** Changes shall be incorporated by change page or complete reissue.

DATA REQUIREMENTS DESCRIPTION (DRD)

1. **DPD NO.:** 1107 **ISSUE:** Revision B
2. **DRD NO.:** **1107MA-001**
3. **DATA TYPE:** 1
4. **DATE REVISED:**
5. **PAGE:** 1/1
6. **TITLE:** Management Plan
7. **DESCRIPTION/USE:** To provide a description of the contractor's overall management system and organization for accomplishing the requirements set forth in the contract.
8. **OPR:** QD01 9. **DM:** QD01
10. **DISTRIBUTION:** Per Contracting Officer's letter
11. **INITIAL SUBMISSION:** 30 days after Authority to Proceed (ATP).
12. **SUBMISSION FREQUENCY:** Revise as required
13. **REMARKS:**
14. **INTERRELATIONSHIP:** PWS paragraph 2.0
15. **DATA PREPARATION INFORMATION:**
- 15.1 **SCOPE:** The Management Plan describes the contractor's concept plans, practice, and approach for accomplishing the requirements set forth in the contract, i.e., managing and controlling Task Order Requests (TORs), Task Order Plans (TOPs), Task Orders (TOs) and TO sub-elements, and management interfaces. The plan shall be in such detail as necessary to convey the contractor's internal procedures.
- 15.2 **APPLICABLE DOCUMENTS:** None
- 15.3 **CONTENTS:** The Management Plan shall include:
 - a. Description of the project tasks to be accomplished and an outline of methods by which the contractor proposes to accomplish each task down to the Level II WBS task level.
 - b. Description of management concepts, plans, project management and task/control systems, organizational approach, approach to quality and communication channels between the contractor and the Government. This shall include descriptions, flow charts, schedules, and other documentation necessary to give a comprehensive plan of organization and accomplishment.
- 15.4 **FORMAT:** Contractor format is acceptable.
- 15.5 **MAINTENANCE:** Changes shall be incorporated by change page or complete reissue.

DATA REQUIREMENTS DESCRIPTION (DRD)

- | | | |
|-------------------------|--------------------------|--------------------------------------|
| 1. DPD NO.: 1107 | ISSUE: Revision B | 2. DRD NO.: 1107MA-002 |
| 3. DATA TYPE: 2 | | 4. DATE REVISED: |
| | | 5. PAGE: 1/1 |
6. **TITLE:** Evaluation and Assessment Reports
7. **DESCRIPTION/USE:** To provide the S&MA Directorate with the information required to accomplish its mission in support of MSFC Programs and Projects.
8. **OPR:** QD01 9. **DM:** QD01
10. **DISTRIBUTION:** Per Contracting Officer's letter
11. **INITIAL SUBMISSION:** As required
12. **SUBMISSION FREQUENCY:** If requested, for each document evaluated and each milestone review.
13. **REMARKS:**
14. **INTERRELATIONSHIP:** PWS paragraph 11.2
15. **DATA PREPARATION INFORMATION:**
- 15.1 **SCOPE:** The Evaluation and Assessment Reports various types of reviews for comment, analyses and evaluations required by the Statement of Work.
- 15.2 **APPLICABLE DOCUMENTS:** None
- 15.3 **CONTENTS:** The Evaluation and Assessment Reports shall review comments, analyses and evaluations of various types of documents for the purpose of determining adequacy and compliance with requirements. Such as: NASA Handbooks, MSFC requirements documents, Level II requirements documents, contractor or Government drawings, specifications, FMEA's, CIL's, Hazard Analyses, Quality Plans and Procedures, Safety Plans, Test Plans and Procedures, Software, ECP/ECR/SCR's, OMI/OMRSD's, and other documents applicable to MSFC Programs and Projects.
- The contractor shall detail deficiencies and make recommendations for approval, disapproval, and required changes. The contractor shall also provide trip reports.
- 15.4 **FORMAT:** Contractor format is acceptable as long as it fulfills the needs of the task managers.
- 15.5 **MAINTENANCE:** None required

DATA REQUIREMENTS DESCRIPTION (DRD)

- | | | |
|-------------------------|--------------------------|--------------------------------------|
| 1. DPD NO.: 1107 | ISSUE: Revision B | 2. DRD NO.: 1107MA-003 |
| 3. DATA TYPE: 2 | | 4. DATE REVISED: |
| | | 5. PAGE: 1/1 |
6. **TITLE:** MSFC Safety, Reliability, Maintainability and Quality Assurance (SRM&QA) Documents
7. **DESCRIPTION/USE:** To provide the S&MA Directorate with the plans, procedures, briefing materials and other documents required in accomplishment of SRM&QA activities.
8. **OPR:** QD01 9. **DM:** QD01
10. **DISTRIBUTION:** Per Contracting Officer's letter
11. **INITIAL SUBMISSION:** As required
12. **SUBMISSION FREQUENCY:** As required and requested by the S&MA Directorate.
13. **REMARKS:** Reference is made to NASA and MSFC Directives and Standards as applicable.
14. **INTERRELATIONSHIP:** PWS paragraph 11.1
15. **DATA PREPARATION INFORMATION:**
- 15.1 **SCOPE:** The MSFC Safety, Reliability, Maintainability and Quality Assurance (SRM&QA) Documents various types of MSFC SRM&QA plans, procedures and requirements documents.
- 15.2 **APPLICABLE DOCUMENTS:** None
- 15.3 **CONTENTS:** The MSFC Safety, Reliability, Maintainability and Quality Assurance (SRM&QA) Documents shall be prepared for MSFC S&MA approval and use the various types of plans, procedures, and other documentation for MSFC in-house SRM&QA activities. Examples are quality plans and procedures, verification analyses, safety analyses, FMEA's, CIL's, reliability and maintainability analyses and assessments, and other types of documents detailed in the Statement of Work. They shall also have the capability of preparing charts (viewgraphs) and writing documents such as training plans and SRM&QA management plans. The documents shall be prepared in accordance with NASA or MSFC Directives and standards associated with the preparation of the different documents requested.
- 15.4 **FORMAT:** The contractor shall use the format established by the directives governing the preparation of the specific documents, otherwise contractor format will be acceptable.
- 15.5 **MAINTENANCE:** Maintained current by page revision or complete reissue to reflect all approved changes.

DATA REQUIREMENTS DESCRIPTION (DRD)

- | | | |
|-------------------------|-------------------|--------------------------------------|
| 1. DPD NO.: 1107 | ISSUE: Revision B | 2. DRD NO.: 1107MA-004 |
| 3. DATA TYPE: 2 | | 4. DATE REVISED: |
| | | 5. PAGE: 1/1 |
6. **TITLE:** Problem Assessment Center (PAC) Operations Plan
7. **DESCRIPTION/USE:** To provide updates to the PAC Operations plan.
8. **OPR:** QD01 9. **DM:** QD01
10. **DISTRIBUTION:** Per Contracting Officer's letter
11. **INITIAL SUBMISSION:** Sixty (60) days after Authority to Proceed (ATP).
12. **SUBMISSION FREQUENCY:** Revision as required
13. **REMARKS:**
14. **INTERRELATIONSHIP:** PWS paragraph 5.5.1
15. **DATA PREPARATION INFORMATION:**
- 15.1 **SCOPE:** The Problem Assessment Center (PAC) Operations Plan identifies the organization, implementation and control of the PAC. The plan shall also identify the periodic reports the PAC will issue to fulfill customer needs.
- 15.2 **APPLICABLE DOCUMENTS:**
- | | |
|------------|--|
| NSTS 08126 | <i>Space Shuttle Problem Reporting and Corrective Action System Requirements</i> |
| SSP 30223 | <i>International Space Station Program Problem Reporting and Corrective Action System Requirements</i> |
| XXX | CLV PRACA documents when baselined |
- 15.3 **CONTENTS:** The PAC Operations Plan shall provide identification of the disciplines, controls and interfaces necessary to implement operation of the PAC, and shall satisfy the requirements of the documents listed in 15.2.
- 15.4 **FORMAT:** The format of the plan shall permit accommodation of special requirements of new projects via appendices. Generally, the order of tasks shall be in accordance with paragraph 5.5 of the PWS.
- 15.5 **MAINTENANCE:** Changes shall be incorporated by change page or complete reissue. The Plan shall be reviewed at least once each year to identify necessary changes.

DATA REQUIREMENTS DESCRIPTION (DRD)

1. **DPD NO.:** 1107 **ISSUE:** Revision B
2. **DRD NO.:** **1107MA-005**
3. **DATA TYPE:** 2
4. **DATE REVISED:**
5. **PAGE:** 1/1

6. **TITLE:** Management Status Review (MSR) Input

7. **DESCRIPTION/USE:** To provide data for the assessment of contract progress by task order (TO). To provide visibility to the contractor and MSFC Management of actual and potential problems and their progress toward meeting the requirements of the contract

8. **OPR:** QD01 9. **DM:** QD01

10. **DISTRIBUTION:** Per Contracting Officer's letter

11. **INITIAL SUBMISSION:** First MSR after Authority to Proceed (ATP)

12. **SUBMISSION FREQUENCY:** Monthly thereafter. The report shall be submitted at the MSR.

13. **REMARKS:**

14. **INTERRELATIONSHIP:** PWS paragraphs 2.0 and 2.7

15. **DATA PREPARATION INFORMATION:**
- 15.1 **SCOPE:** The Management Status Review (MSR) Input provides a comprehensive status on all active TOs and include the necessary information to assess status and identify problems that need resolution for accomplishment of the contract tasks.
- 15.2 **APPLICABLE DOCUMENTS:** None
- 15.3 **CONTENTS:** The Management Status Review (MSR) Input shall include:
 - a. Review of work accomplished, including quantitative description, during the reporting period.
 - b. Discussion of non-routine tasks planned for the next reporting period.
 - c. Indication of any problems, which may impede performance or impact performance, schedule or cost.
 - d. Schedule with milestones.
 - e. Labor hours expended by labor category showing overtime hours separately.
 - f. Costs expended (by cost element) versus negotiated cost and TO/TO sub-element funding received.
 - g. Cost detail should be delineated in terms of those government unique project numbers (UPN) funding each TO/TO sub-element.
 - h. Any other information that may assist the technical evaluators in evaluating the technical and administrative program; such as innovative processes, cost-reduction initiatives, etc.
- 15.4 **FORMAT:** Contractor format similar to government MSR charts is acceptable, hard copy charts with electronic presentation media is strongly encouraged.
- 15.5 **MAINTENANCE:** None required

DATA REQUIREMENTS DESCRIPTION (DRD)

1. **DPD NO.:** 1107 **ISSUE:** Revision B
2. **DRD NO.:** **1107MA-006**
3. **DATA TYPE:** 2
4. **DATE REVISED:**
5. **PAGE:** 1/2

6. **TITLE:** Organizational Conflict of Interest (OCI) Avoidance Plan

7. **DESCRIPTION/USE:** To demonstrate to the Government that the Contractor, when using subject matter experts, will mitigate organizational conflicts of interest and ensure that the contractor provides unbiased, impartial advice and adequately protects sensitive, proprietary data belonging to other contractors.

8. **OPR:** PS33 9. **DM:** QD01

10. **DISTRIBUTION:** Per Contracting Officer's letter

11. **INITIAL SUBMISSION:** 5 working days following Authority to Proceed (ATP)

12. **SUBMISSION FREQUENCY:** Update as required

13. **REMARKS:** Reference is made to Contract Clauses H.2, H.3, H.14, and K.3; NFS Part 1809.505-4, "*Obtaining Access to Sensitive Information;*" NFS Part 1837.203-70, "*Providing Contractors Access to Sensitive Information;*" NFS Part 1837.203-71, "*Release of Contractor's Sensitive Information;*" NFS Part 1852.237-72, "*Access to Sensitive Information;*" and NFS 1852.237-73, "*Release of Sensitive Information.*"

14. **INTERRELATIONSHIP:** PWS paragraph 2.0

15. **DATA PREPARATION INFORMATION:**
- 15.1 **SCOPE:** The Organizational Conflict of Interest Avoidance Plan demonstrates that no organizational conflict of interest exists or that any such potential conflicts have been adequately avoided or mitigated when using subject matter experts connected to any prime contractor or subcontractor performing design, development, and/or delivery of space flight hardware, software, mission integration services or other critical systems related to MSFC.

- 15.2 **APPLICABLE DOCUMENTS:** None

- 15.3. **CONTENTS:** The Organizational Conflict of Interest Avoidance Plan shall include the following:
 - a. Organizational conflicts of interest pertaining to impaired objectivity associated with the use of subject matter experts shall either:
 1. Warrant that the individuals have no conflicting business relationships as defined in Clauses H.2, H.3, and K.3 in the solicitation, or
 2. Describe all business relationships that might create a conflict with the performance work statement in this order by demonstrating:
 - (a) That the management reporting chains between this order and the work performed by the technical subject matter experts for the conflicting business relationship are separated from each other.
 - (b) That the subject matter experts when performing this order are physically separated from the portion of the company performing the work for the conflicting business relationships.
 - (c) That each subject matter expert performing this order signs an express, binding, written agreement setting forth all responsibilities and duties to avoid organizational conflicts of interest and to protect sensitive data provided under this order.
 - (d) That techniques are in place to ensure that the contractor shall not favor the conflicting business relationships and will avoid the appearance of conflicts of interest.

DRD Continuation Sheet

TITLE: Organizational Conflict of Interest (OCI) Avoidance Plan **DRD NO.:** 1107MA-006

DATA TYPE: 2

PAGE: 2/2

15. **DATA PREPARATION INFORMATION (CONTINUED):**

- b. With regard to access to nonpublic information by the subject matter experts, the avoidance plan shall contain a plan to safeguard all proprietary/sensitive data the contractor receives. This plan shall include:
1. A provision that subject matter experts shall not disclose the proprietary/sensitive data relating to this order.
 2. A provision that subject matter experts only shall use the proprietary/sensitive data relating to this order.
 3. A provision that information, whether in hard copy or on electronic media, shall be marked, handled, stored, and destroyed in order to preclude an unauthorized disclosure of information.
 4. A provision that information technology shall be protected to prevent unauthorized disclosure of information.
 5. A provision that employees performing the effort must sign an express binding written agreement clearly agreeing to protect sensitive data.
 6. A requirement that subcontractors have appropriate OCI avoidance procedures in place for the use of subject matter experts.
 7. A requirement for periodic self-audits, the results of which shall be made available to the Government.
 8. Initial and periodic refresher OCI training for the contractor and subject matter experts working on the order.
 9. A Description of organizational and employee sanctions for violation of the OCI order clause or OCI Avoidance Plan provisions.
 10. Provisions on record keeping requirements regarding OCI (e.g., training, written agreements). The contractor shall make these records available to and cooperate with any neutral third party the Government assigns to review adherence to their OCI mitigation plan.
 11. A provision requiring the contractor to report any real, apparent, or potential conflict of interest that may arise to the Contracting Officer.
 12. A provision requiring the contractor to update the OCI Avoidance Plan for the subject matter experts upon occurrence of any event that will cause a change to the plan.

15.4 **FORMAT:** Contractor format is acceptable.

15.4 **MAINTENANCE:** Changes shall be incorporated by change page or complete reissue.

DATA REQUIREMENTS DESCRIPTION (DRD)

1. **DPD NO.:** 1107 **ISSUE:** Revision B
2. **DRD NO.:** **1107MA-007**
3. **DATA TYPE:** 3
4. **DATE REVISED:**
5. **PAGE:** 1/1

6. **TITLE:** Contractor Employee Clearance Document

7. **DESCRIPTION/USE:** To ensure that badged contractor employees no longer requiring Center access properly clear all accounts upon termination of employment.

8. **OPR:** AS50 9. **DM:** QD01

10. **DISTRIBUTION:** Per Contracting Officer's letter

11. **INITIAL SUBMISSION:** Immediately upon termination of employment.

12. **SUBMISSION FREQUENCY:** As required

13. **REMARKS:**

14. **INTERRELATIONSHIP:** PWS paragraph 11.3

15. **DATA PREPARATION INFORMATION:**
- 15.1 **SCOPE:** The Contractor Employee Clearance Document provides verification that all badged employees have properly cleared all accounts upon termination of employment.
- 15.2 **APPLICABLE DOCUMENTS:** None
- 15.3 **CONTENTS:** The Contractor Employee Clearance Document shall contain all the information required by MSFC Form 383-1.
- 15.4 **FORMAT:** MSFC Form 383-1, "Contractor Employee Clearance Document".
- 15.5 **MAINTENANCE:** None required

DATA REQUIREMENTS DESCRIPTION (DRD)

1. **DPD NO.:** 1107 **ISSUE:** Revision B
2. **DRD NO.:** **1107MA-008**
3. **DATA TYPE:** 3
4. **DATE REVISED:**
5. **PAGE:** 1/2

6. **TITLE:** Financial Management Report (533M and 533Q)

7. **DESCRIPTION/USE:** To provide quarterly and monthly financial reports for monitoring program costs. The 533M and 533Q reports are the official cost documents used at NASA for cost type, price redetermination, and fixed price incentive contracts.

8. **OPR:** CS40 9. **DM:** QD01

10. **DISTRIBUTION:** Per Contracting Officer's letter

11. **INITIAL SUBMISSION:** An initial report in the 533Q format is required within 30 working days after Authority to Proceed. Initial 533M reporting shall begin no later than 30 days after the incurrence of cost.
12. **SUBMISSION FREQUENCY:** 533Q: Quarterly; no later than the 15th day of the month preceding the quarter being reported in columns 8a, 8b, and 8c. 533M: Monthly; no later than 10 working days following the close of the contractor's accounting month.

13. **REMARKS:** The data contained in the reports shall be auditable using Generally Accepted Accounting Principles.

14. **INTERRELATIONSHIP:** PWS paragraph 2.0

15. **DATA PREPARATION INFORMATION:**
- 15.1 **SCOPE:** The Financial Management Report provides data on accumulated costs and funding projections for management of the contract.

- 15.2 **APPLICABLE DOCUMENTS:**
 NPR 9501.2D *NASA Contractor Financial Management Reporting*

- 15.3 **CONTENTS:** The elements of cost for financial reporting shall be mutually agreed by the contractor and NASA project office. The Financial Management Reports (533M and 533Q) shall be prepared in accordance with the detailed instructions provided on the reverse side of the NASA Forms 533M and 533Q and the supplementary instructions set forth in NPR 9501.2D, Chapter 3.
 - a. 533Q Quarterly Report shall include actual cost and cost projections at the total contract level. The initial 533Q report shall reflect the original contract value detailed by negotiated reporting categories and serve as the original baseline plan.
 - b. 533M Monthly Report shall include actual cost and cost projections at the total contract level.

A summary level page reflecting cumulative total contract cost since inception shall be included. Reconciliation between the 533M/533Q and the Cost Performance Report (CPR) or Modified Cost Performance Report (M/CPR) shall be submitted as an attachment to the 533M/533Q Report.

A backup report shall be provided that identifies the following fields: Task Order (TO), TO/sub-element, reporting category, PR number, WBS, cost center, fund, current month actuals, cumulative actuals, funding received, variance next month's estimate and monthly actuals at the individual project/program level.

DRD Continuation Sheet**TITLE:** Financial Management Report (533M and 533Q)**DRD NO.:** **1107MA-008****DATA TYPE:** 3**PAGE:** 2/2

15. **DATA PREPARATION INFORMATION (CONTINUED):**

15.4 **FORMAT:** Contractor internal automated printout reports may be substituted for 533M/533Q forms (with NASA Contracting Officer's approval) provided that the contractor report contains all of the data elements required by NASA Forms 533M and 533Q. Electronic submission of contractor data is strongly encouraged (reference NPR 9501.2, paragraph 3.7).

15.5 **MAINTENANCE:** None required

DATA REQUIREMENTS DESCRIPTION (DRD)

1. **DPD NO.:** 1107
2. **DRD NO.:** **1107MA-009**
3. **DATA TYPE:** 3
4. **DATE REVISED:**
5. **PAGE:** 1/1
6. **TITLE:** Bi-weekly Notes
7. **DESCRIPTION/USE:** To provide data for the assessment of contract progress. To provide visibility to contractor and MSFC Management of actual and potential problems and progress toward meeting the requirements of the contract.
8. **OPR:** QD01
9. **DM:** QD01
10. **DISTRIBUTION:** Per Contracting Officer's letter
11. **INITIAL SUBMISSION:** First bi-weekly note submittal after Authority to Proceed (ATP).
12. **SUBMISSION FREQUENCY:** Every two weeks to correspond with the input to the Center's bi-weekly note submittal or as directed by the COTR.
13. **REMARKS:**
14. **INTERRELATIONSHIP:** PWS paragraphs 2.0 and 2.7
15. **DATA PREPARATION INFORMATION:**
- 15.1 **SCOPE:** The Bi-weekly Notes provides a status on active tasks and include the necessary information to assess status and identify problems that need resolution for accomplishment of the contract tasks.
- 15.2 **APPLICABLE DOCUMENTS:** None
- 15.3 **CONTENTS:** The Bi-weekly Notes shall include:
 - a. Review of work accomplished.
 - b. Indications of any problems which may impede performance or impact performance, schedule or cost.
 - c. Any other information that may assist the technical evaluators in evaluating the contract.
- 15.4 **FORMAT:** Center bi-weekly note format is acceptable.
- 15.6 **MAINTENANCE:** None required

DATA REQUIREMENTS DESCRIPTION (DRD)

1. **DPD NO.:** 1107 **ISSUE:** Revision B
2. **DRD NO.:** **1107MA-010**
3. **DATA TYPE:** 3
4. **DATE REVISED:**
5. **PAGE:** 1/1

6. **TITLE:** Badged Employee and Remote IT User Listing

7. **DESCRIPTION/USE:** To assist NASA in conducting contractor floor checks and to determine if the employees meet the minimum background investigation requirements.

8. **OPR:** AS50 9. **DM:** QD01

10. **DISTRIBUTION:** Per Contracting Officer's letter

11. **INITIAL SUBMISSION:** No later than 10 working days after Authority to Proceed (ATP)

12. **SUBMISSION FREQUENCY:** Update quarterly or as personnel change occurs. If deemed necessary by the Contracting Officer, the contractor shall submit the list at times other than stated.

13. **REMARKS:** Reference is made to Federal Acquisition Regulation (FAR) Clause, FAR 52.215-2, *Audit and Records--Negotiations* (June 1999), NPR 1600.1, *NASA Security Program Procedural Requirements*, and Homeland Security Policy Directive 12.

14. **INTERRELATIONSHIP:** PWS paragraph 2.0

15. **DATA PREPARATION INFORMATION:**
- 15.1 **SCOPE:** The Badged Employee and Remote IT User Listing shall provide NASA with a list of all MSFC badged contractor employees, as well as, any contractor remote IT users who will have access to the MSFC IT system.
- 15.2 **APPLICABLE DOCUMENTS:** None
- 15.3 **CONTENTS:** The Badged Employee and Remote IT User Listing shall include the following information for each employee: employee's full name (first and middle names must be birth names), Social Security Number (SSN), date of birth, place of birth, duty position, duty location (building/room number), shift assignment, and supervisor's name. Additionally, if applicable, the type of security background check already completed [National Agency Check – Local Agency Checks and Credit Check (NACLIC) or Single Scope Background Investigation (SSBI)] and the date it was completed.
- 15.4 **FORMAT:** Contractor format using Excel Spreadsheet is acceptable.
- 15.5 **MAINTENANCE:** None required

DATA REQUIREMENTS DESCRIPTION (DRD)

- | | |
|-------------------------|--------------------------------------|
| 1. DPD NO.: 1107 | 2. DRD NO.: 1107MA-011 |
| 3. DATA TYPE: 3 | 4. DATE REVISED: |
| | 5. PAGE: 1/1 |
6. **TITLE:** Make or Buy Plan
7. **DESCRIPTION/USE:** To outline and define those end items to be manufactured (make) or procured (buy).
8. **OPR:** QD01 9. **DM:** QD01
10. **DISTRIBUTION:** Per Contracting Officer's letter
11. **INITIAL SUBMISSION:** With proposal
12. **SUBMISSION FREQUENCY:** Revise as required
13. **REMARKS:** Reference is made to FAR 15.407-2, *Make or Buy Programs*
14. **INTERRELATIONSHIP:** PWS paragraph 2.0
15. **DATA PREPARATION INFORMATION:**
- 15.1 **SCOPE:** The Make or Buy Plan establishes the content, format, and maintenance requirements for a “make or buy” plan of important components or subsystems.
- 15.2 **APPLICABLE DOCUMENTS:**
NFS 1852.215-78 *Make or Buy Program Requirements*
- 15.3 **CONTENTS:** The Make or Buy Plan shall contain the following in accordance with NFS 1852.215-78:
- a. Description of each major item or work effort.
 - b. Categorization of each major item or work effort as “must make”, “must buy”, or “can either make or buy.”
 - c. For each item or work effort categorized as “can either make or buy”, a proposed either to “make” or “buy”.
 - d. Reasons for categorizing items and work effort as “must make” or “must buy” and proposing to “make” or “buy” those categorized as “can either make or buy”. The reasons must include the consideration given to the applicable evaluation factors described in the solicitation and be in sufficient detail to permit the Contracting Officer to evaluate the categorization and proposal.
 - e. Designation of the offerer’s plant or division proposed to make each item or perform each work effort and a statement as to whether the existing or proposed new facility is in or near a labor surplus area.
 - f. Identification of proposed subcontractors, if known, and their location and size status.
 - g. Any recommendation to defer make-or-buy decisions when categorization of some items or work efforts is impracticable at the time of submission.
- Note: The information required from a contractor in a make-or-buy plan shall be confined to those major items or work efforts that normally would require company management review of the make-or-buy decision because they are complex, costly, needed in large quantities, or require additional facilities to produce. Raw materials, commercial items, and off-the-shelf items shall not be included, unless their potential impact on contract cost or schedule is critical. Normally, make-or-buy programs should not include items or work efforts estimated to cost less than 1 percent of the total estimated contract price of any minimum dollar set by the agency.
- 15.4 **FORMAT:** Contractor format is acceptable. The plan shall be sub-divided to categorize each item by subsystem, major components, assemblies, subassemblies, and parts to be processed or manufactured.
- 15.5 **MAINTENANCE:** Changes shall be incorporated by change page or complete reissue.

DATA REQUIREMENTS DESCRIPTION (DRD)

- | | | |
|-------------------------|--------------------------|--------------------------------------|
| 1. DPD NO.: 1107 | ISSUE: Revision B | 2. DRD NO.: 1107MA-012 |
| 3. DATA TYPE: 3 | | 4. DATE REVISED: |
| | | 5. PAGE: 1/1 |
6. **TITLE:** Position Risk Designation for Non-NASA Employee(s)
7. **DESCRIPTION/USE:** To ensure that contractor employees are screened to an appropriate risk determination in accordance with NPR 1600.1, *NASA Security Program Procedural Requirements*, Chapter 4.
8. **OPR:** AS50 9. **DM:** QD01
10. **DISTRIBUTION:** The copy of the spreadsheet shall be submitted to Protective Services at the following address: Protective Services; Attn: Ms. Deborah Swafford; Building 4200, Room 222; MSFC, AL 35812 or deborah.g.swafford@nasa.gov.
11. **INITIAL SUBMISSION:** No later than 10 working days after Authority to Proceed (ATP)
12. **SUBMISSION FREQUENCY:** Update as personnel or position changes occur
13. **REMARKS:** Information shall be marked appropriately as subject to the Privacy Act of 1974 (Privacy Act Information [PAI]). The spreadsheet shall be used for all new hires and any current employees who have not previously submitted the required data on NASA Form 1760. All new hires must be noted as such on the spreadsheet.
14. **INTERRELATIONSHIP:** PWS paragraph 2.0
15. **DATA PREPARATION INFORMATION:**
- 15.1 **SCOPE:** The Position Risk Designation for Non-NASA Employee provides information necessary to determine the type of investigation required and how closely an individual is screened for a position.
- 15.2 **APPLICABLE DOCUMENTS:**
NPR 1600.1 *NASA Security Program Procedural Requirements*
- 15.3 **CONTENTS:** The Position Risk Designation for Non-NASA Employee shall contain the following information for each employee: Social Security Number (SSN), Last Name, First name, Middle Suffix, Date of Birth, City of Birth, County of Birth, State of Birth, Country of Birth, E-mail address, Telephone Number, Mission Essential Infrastructure (MEI) Required, Personnel Reliability Program (PRP) Required and Remote IT Access Only.
- 15.4 **FORMAT:** The Spreadsheet shall be provided in Microsoft Excel electronically via CD, delivered directly to Protective Services, or Encrypted Email (no other means of transmittal will be accepted).
- 15.5 **MAINTENANCE:** None required

DATA REQUIREMENTS DESCRIPTION (DRD)

1. **DPD NO.:** 1107 **ISSUE:** Revision B
2. **DRD NO.:** **1107SA-001**
3. **DATA TYPE:** 1
4. **DATE REVISED:**
5. **PAGE:** 1/2

6. **TITLE:** Personnel Training and Certification Plan

7. **DESCRIPTION/USE:** To provide the contractor and the Government a baseline document for definition of training and personnel certification criteria and procedures to be implemented.

8. **OPR:** QD40 9. **DM:** QD01

10. **DISTRIBUTION:** Per Contracting Officer's letter

11. **INITIAL SUBMISSION:** Ten (10) days after Authority to Proceed (ATP)

12. **SUBMISSION FREQUENCY:** Update as required

13. **REMARKS:**

14. **INTERRELATIONSHIP:** PWS paragraph 2.5

15. **DATA PREPARATION INFORMATION:**
- 15.1 **SCOPE:** The Personnel Training and Certification Plan provides for training, certification, and re-certification of personnel engaged in hazardous operations and performance of critical processes. The purpose of a training and certification program is to assure that all personnel are capable of performing their duties and work assignments without endangering themselves, fellow employees, equipment and/or facilities.

- 15.2 **APPLICABLE DOCUMENTS:**

MPR 8715.1	<i>Marshall Safety, Health, and Environmental (SHE) Program</i>
MPR 3410.1	<i>Training</i>
MWI 3410.1	<i>Personnel Certification Program</i>
MWI 3410.2	<i>Personnel Certification for NDE</i>
QD10-QA-022	<i>Visual Weld Inspection</i>
ANSI B31.1	<i>Code for Power Piping</i>
ANSI B31.3	<i>Code for Chemical Plant and Refinery Piping</i>
ANSI/AWS D1.1	<i>Structural Welding Code/Steel</i>
ANSI/AWS D1.2	<i>Structural Welding Code/Aluminum</i>
NPR 8715.3	<i>NASA Safety Manual</i>

- 15.3 **CONTENTS:** The Personnel Training and Certification Plan shall include criteria which relate to work classification and skills, education, experience, training, and other qualifications necessary to assure safe and efficient operation and maintenance of inspection and test stand systems and high quality workmanship. The plan shall fulfill the requirements of the applicable documents listed in 15.2 and include:
 - a. Training and certification program.
 1. General.
 - (a) Program description.
 - (b) Program administration.
 - (c) Certification duration.
 - (d) Definitions.
 - (e) Job description summaries.
 - (f) Task assignments per job description.
 - (g) Skills required per job description.

DRD Continuation Sheet

TITLE: Personnel Training and Certification Plan

DRD NO.: 1107SA-001

DATA TYPE: 1

PAGE: 2/2

15. **DATA PREPARATION INFORMATION (CONTINUED):**

2. Certification requirements/skills.
 - (a) Education.
 - (b) Experience/work history.
 - (c) Specialized training.
 - (d) Physical condition/attitude.
3. Certification process.
 - (a) Supervision responsibilities.
 - (b) Certifying authority.
 - (c) Formal/informal examination.
 - (d) Proficiency demonstration.
4. Certification documentation.
- b. Specific skills requiring training and proficiency shall include:
 1. Schematic and drawing comprehension.
 2. Test and launch operations.
- c. Specific skills requiring certification and proficiency shall include:
 1. Solid propellant inspection *.
 2. Confined space *.
 3. Welding inspection and nondestructive evaluation (NDE).
 4. Program Critical Hardware (PCH) *.
 5. Lifting Equipment Training Certified Examiner.
 6. Propellant and Explosive Handler *.
 7. Risk Management Course Instructors (NASA Headquarters provided training, travel required).

* Training provided by the Government at MSFC.

15.4 **FORMAT:** Contractor format is acceptable.

15.5 **MAINTENANCE:** Changes shall be incorporated by change page or complete reissue.

DATA REQUIREMENTS DESCRIPTION (DRD)

- | | | |
|-------------------------|-------------------|--------------------------------------|
| 1. DPD NO.: 1107 | ISSUE: Revision B | 2. DRD NO.: 1107SA-002 |
| 3. DATA TYPE: 2 | | 4. DATE REVISED: |
| | | 5. PAGE: 1/3 |
6. **TITLE:** Safety, Health, and Environmental (SHE) Plan
7. **DESCRIPTION/USE:** To provide the contractor and the Government a baseline document for planning, management, control, and implementation of the contractor's industrial/occupational safety, health, and environmental program in accordance with NFS 1852.223-73.
8. **OPR:** AS10/QD12 9. **DM:** QD01
10. **DISTRIBUTION:** Per Contracting Officer's letter
11. **INITIAL SUBMISSION:** Preliminary with proposal
12. **SUBMISSION FREQUENCY:** Ten days after Authority to Proceed (ATP); update as required
13. **REMARKS:**
14. **INTERRELATIONSHIP:** NFS 1852.223-70, *Safety and Health*; NFS 1852.223-73, *Safety and Health Plan*; FAR 52.223-10, *Waste Reduction Program*. DRD 1107SA-003, *Mishap and Safety Statistics Report*. PWS paragraph 2.3
15. **DATA PREPARATION INFORMATION:**
- 15.1 **SCOPE:** The Safety, Health, and Environmental Plan describes the contractor's method of implementing occupational safety, health, and environmental standards over the duration of the contract.
- 15.2 **APPLICABLE DOCUMENTS:** Compliance with the following Occupational Safety and Health Standards and applicable requirements shall be specified in the plan (if applicable to the scope of this contract).
- | | |
|---|--|
| 29 CFR 1910 | <i>Department of Labor; Occupational Safety and Health Administration Standards for General Industry</i> |
| 29 CFR 1926 | <i>Department of Labor; Occupational Safety and Health Administration Standards for Construction Industry</i> |
| 40 CFR | <i>Protection of the Environment</i> |
| ANSI Standards applicable to the scope of this contract | |
| <i>ASME Boiler and Pressure Vessel Code</i> | |
| MPR 1040.3 | <i>MSFC Emergency Plan</i> |
| MPR 1840.3 | <i>MSFC Hazardous Chemicals in Laboratories Protection Program</i> |
| MPR 1840.1 | <i>MSFC Confined Space Entries</i> |
| MPD 1860.2 | <i>MSFC Radiation Safety Program</i> |
| MPR 1810.1 | <i>MSFC Occupational Medicine</i> |
| MPD 1840.3 | <i>MSFC Respiratory Protection Program</i> |
| MPD 1840.2 | <i>MSFC Hearing Conservation Program</i> |
| MPD 1840.1 | <i>MSFC Environmental Health Program</i> |
| MPR 1840.2 | <i>MSFC Hazard Communication Program</i> |
| MPD 1860.1 | <i>Laser Safety</i> |
| MPR 1800.1 | <i>Bloodborne Pathogens</i> |
| MWI 3410.1 | <i>Personnel Certification Program</i> |
| MPR 8715.1 | <i>Marshall Safety, Health and Environmental (SHE) Program</i> |
| MPD 8900.1 | <i>Medical Operations Responsibilities for Human Space Flight Programs (NOTE: This document only applies to Space Station contracts)</i> |

DRD Continuation Sheet

TITLE: Safety, Health, and Environmental (SHE) Plan

DRD NO.: 1107SA-002

DATA TYPE: 2

PAGE: 2/3

15. **DATA PREPARATION INFORMATION (CONTINUED):**

NFPA Standards	<i>National Fire Codes</i>
NPR 8715.3	<i>NASA Safety Manual</i>
NASA-STD-8719.11	<i>Safety Standard for Fire Protection</i>

15.3 **CONTENTS:** The Safety, Health, and Environmental Plan shall describe the manner in which the contractor implements the requirements of the applicable documents as they pertain to the specific statement of work tasks to be performed and updated when necessary. The Safety, Health and Environmental Plan shall clearly state if the contracted effort contain potentially hazardous or non-hazardous operations and fully address the following applicable topics:

- a. Management leadership and employee involvement:
 1. Statement of management policy and commitment to provide for the safety and health of personnel (i.e., employees, customers, and public) and property, and compliance with EPA, OSHA and NASA requirements.
 2. Description of procedures for insuring management and employees are held accountable for implementing their task in a safe and healthful manner through motivational techniques, disciplinary program, or other innovative techniques.
 3. Descriptions of safety, health, environmental awareness and motivation programs that, include documented safety meetings and safety awareness training for employees. (Onsite Safety meeting statistics shall be documented in the Supervisors Safety Web page: http://msfcsma3.msfc.nasa.gov/dbwebs/apps/sswp/SSWP_login.taf)
 4. Method of program evaluation that, identify the methods and frequency for internal evaluation of the safety, health, and environmental program.
 5. Method to ensure the Flowdown of safety responsibilities between all company levels and subcontractors, when applicable.
 6. Identification by title the individual who will be responsible for the implementation of the SHE program elements.
 7. Method to ensure compliance with MPR 8715.1, when work will be performed onsite at MSFC.
- b. System and worksite analysis:
 1. Methods of hazard identification, e.g., hazard analysis, safety assessment, change analysis, risk assessment and employee identified concerns.
 2. Descriptions of OSHA programs that require documented programs (e.g., Respiratory Protection, Hazard Communication, Confined Space, and Lockout/Tagout, etc. Include the interrelationships with the MSFC programs.) (Note: Only programs applicable to the contracted effort need to be addressed.)
 3. Requirements for formal worksite safety inspections as required by OSHA, to including schedule and documentation requirements. Onsite OSHA inspections are performed by NASA.
 4. Requirements for documented supervisors' safety visits. Onsite safety visits shall be performed once per month per supervisor and documented in the Supervisors Safety Web page.
- c. Hazard prevention and control:
 1. Methods to identify potentially hazardous operations and generate plans, procedures, and other working documents which clearly identify the hazardous situations and the necessary cautions taken to mitigate the hazard; an annual review of the plans and procedures; and, MSFC Safety Department concurrence for onsite hazardous procedures. A list of identified potentially hazardous operations will be provided in the SHE plan.
 2. Method of ensuring controls over the procurement, storage, issuance, and use of hazardous substances and procedures for recycling and disposal of hazardous waste in accordance with MPR 8500.1.
 3. Method of ensuring a documented emergency management program. Include a list of emergency points of contract. (Note: Onsite contractors may use MPR 1040.3.)
 4. Method of investigating all mishaps and close calls to determine root cause, including an outline of reporting requirements. (Reference DRD 1107SA-003, *Mishap and Safety Statistics Report*).

DRD Continuation Sheet

TITLE: Safety, Health, and Environmental (SHE) Plan

DRD NO.: 1107SA-002

DATA TYPE: 2

PAGE: 3/3

15. **DATA PREPARATION INFORMATION (CONTINUED):**

5. Method for providing safety, health, and environmental services applicable to the contracted effort such as hazardous waste disposal, industrial hygiene monitoring, emergency medical support, hearing conservation program, and hazard communication. (These services can be provided by MSFC for onsite work.)
 6. Method for employees to suspend work where safety or environmental conditions warrant such action.
 - d. Safety and health training:
 1. Method for training each employee to recognize hazards, avoid accidents, know the hazards specific to their job, and understand the disciplinary program.
 2. Method for training and certification of personnel performing potentially hazardous operations. Identify the job categories under the contracted effort that require certification in accordance with MWI 3410.1, "Personnel Certification Program". Personnel Certification for onsite identified job categories shall be tracked in the MSFC Certification Database (CERTRAK) in accordance with MWI 3410.1. (NOTE: offsite contracts shall list the job categories under the contracted effort that require OSHA documented training and certification.)
 - e. Environmental compliance - Provisions for compliance with environmental laws and regulations by: reporting hazardous and toxic substance use; implementing and reporting green procurements in accordance with MWI 8540.2; reducing, reusing, and recycling of hazardous and toxic substances prior to disposal; minimizing stormwater pollution; ensuring equipment and processes permitted by applicable laws; and disposing of solid and liquid materials as permitted by applicable laws.
- 15.4 **FORMAT:** Contractor format is acceptable.
- 15.5 **MAINTENANCE:** Changes shall be incorporated by change page or complete reissue.

DATA REQUIREMENTS DESCRIPTION (DRD)

1. **DPD NO.:** 1107 **ISSUE:** Revision B
2. **DRD NO.:** **1107SA-003**
3. **DATA TYPE:** 3
4. **DATE REVISED:**
5. **PAGE:** 1/2

6. **TITLE:** Mishap and Safety Statistics Reports

7. **DESCRIPTION/USE:** To provide reporting of metrics, mishaps, close calls, and serious non-occupational injuries or illnesses.

8. **OPR:** QD50 9. **DM:** QD01

10. **DISTRIBUTION:** Per Contracting Officer's letter

11. **INITIAL SUBMISSION:**
 - a. Safety Statistics (e.g., contract number, subcontractors, NAIC codes, number of employees, number of supervisors, hours worked, etc.): submitted on MSFC Form 4371 by the 10th of each month following Authority to Proceed (ATP).
 - b. Mishaps, Close Calls, and serious non-occupational injuries or illnesses
 1. Type A or B mishaps, high visibility mishaps or close calls, and onsite Type C lost time injury or illness: Immediate telephone notification to the Contracting Officer, and Industrial Safety (256-544-0046 or 4-HELP, Safety Option) so that Center Director notifies the NASA Administrator within 24 hours of occurrence or awareness. Include location and time of incident, number of fatalities, number hospitalized, type of damage, estimated cost, brief description, and contact person and phone number.
 2. Non-occupational fatality or serious injury occurring onsite or to an onsite contractor employee: Notification to Contracting Officer and S&MA so that Center Director notifies the NASA Administrator within 24 hour of occurrence or awareness. (Offsite non-occupational injury or illness notification is at the discretion of the family.)
 3. a. All Onsite MSFC mishaps and close calls: (applicable to onsite contractors only): NASA Initial Safety Incident Report within 4 hours of occurrence or awareness on MSFC Form 4370 or equivalent either by telephone 256-544-4357 (4-HELP); Safety Option or electronically by Quick Incident. Report at https://msfcsma3.msfc.nasa.gov/s&ma_01/mishap/index.htm.
 - b. Offsite Mishaps and Close Calls Type C and below: Initial notification by next MSFC 4371.
 4. All Mishaps (Type A, B, C, Incidents and Close Calls): Mishap Report NASA Form 1627 or electron update of NASA Incident Reporting Information System (IRIS) record within 6 calendar days of Mishap.
 5. Type A, B, and Close Calls with high Type A or B potential: Mishap Board Report after completion of investigation.
 6. All Mishaps: Monthly Follow-up Corrective Action Plan/Status as required until closed.

12. **SUBMISSION FREQUENCY:**
 - a. MSFC Form 4370 or electronic equivalent - Each occurrence of a mishap except as identified in section 11.b.
 - b. NASA Form 1627 or electronic equivalent - Each occurrence of a mishap. Corrective action status reports are due every 30 days until the final report is submitted.
 - c. MSFC Form 4371 - By the 10th of each month.
 - d. Mishap Board Report – Each occurrence of a Type A or B mishap, or as directed by Center management.

13. **REMARKS:**

14. **INTERRELATIONSHIP:** DRD 1107SA-002, *Safety, Health, and Environmental (SHE) Plan*. PWS paragraph 2.3

DRD Continuation Sheet**TITLE:** Mishap and Safety Statistics Reports**DRD NO.:** 1107SA-003**DATA TYPE:** 3**PAGE:** 2/2

15. DATA PREPARATION INFORMATION:

15.1 **SCOPE:** The Mishap and Safety Statistics Reports document all mishaps and close calls as required in NPR 8621.1.

15.2 APPLICABLE DOCUMENTS:

NPR 8621.1 *NASA Procedural Requirements for Mishap Reporting, Investigating, and Recordkeeping*
MWI 8621.1 *Close Call and Mishap Reporting and Investigation Program*

15.3 **CONTENTS:** The Mishap and Safety Statistics Reports shall contain the information required by NPR 8621.1 and MWI 8621.1. The contractor shall use the forms listed in 15.4 to report mishaps and related information required to produce the safety metrics.

15.4 **FORMAT:** The following formats or electronic equivalent shall be submitted:

- a. MSFC Form 4370, "MSFC Flash Mishap Report."
- b. NASA Form 1627, "NASA Mishap Report."
- c. MSFC Form 4371, "MSFC Contractor Accident and Safety Statistics."
- d. Mishap Board Report using the format provided in NPR 8621.1.

15.5 **MAINTENANCE:** None required

I.2 MSFC 52.252-90 REPRESENTATIONS, CERTIFICATIONS, AND OTHER STATEMENTS OF OFFERORS OR QUOTERS INCORPORATED BY REFERENCE (FEB 2001)

The Representations, Certifications, and Other Statements of Offerors or Quoters (Section K of the solicitation document) as completed by the Contractor are hereby incorporated in their entirety by reference, with the same force and effect as if they were given in full text.

(End of Clause)

I.3 1852.204-75 SECURITY CLASSIFICATION REQUIREMENTS (SEP 1989)

Performance under this contract will involve access to and/or generation of classified information, work in a security area, or both, up to the level of "Secret". See Federal Acquisition Regulation clause 52.204-2 in this contract and DD Form 254, Contract Security Classification Specification, Attachment J-12

(End of Clause)

I.4 1852.204-76 SECURITY REQUIREMENTS FOR UNCLASSIFIED INFORMATION TECHNOLOGY RESOURCES (MAY 2007)

- (a) The Contractor shall be responsible for information and information technology (IT) security when –
- (1) The Contractor or its subcontractors must obtain physical or electronic (i.e., authentication level 2 and above as defined in National Institute of Standards and Technology (NIST) Special Publication (SP) 800-63, Electronic Authentication Guideline) access to NASA's computer systems, networks, or IT infrastructure; or
 - (2) Information categorized as low, moderate, or high by the Federal Information Processing Standards (FIPS) 199, Standards for Security Categorization of Federal Information and Information Systems is stored, generated, processed, or exchanged by NASA or on behalf of NASA by a contractor or subcontractor, regardless of whether the information resides on a NASA or a contractor/subcontractor's information system.
- (b) IT Security Requirements.
- (1) Within 30 days after contract award, a Contractor shall submit to the Contracting Officer for NASA approval an IT Security Plan, Risk Assessment, and FIPS 199, Standards for Security Categorization of Federal Information and Information Systems, Assessment. These plans and assessments, including annual updates shall be incorporated into the contract as compliance documents.
 - (i) The IT system security plan shall be prepared consistent, in form and content, with NIST SP 800-18, Guide for Developing Security Plans for Federal Information Systems, and any additions/augmentations described in NASA Procedural Requirements (NPR) 2810, Security of Information Technology. The security plan shall identify and document appropriate IT security controls consistent with the sensitivity of the information and the requirements of Federal Information Processing Standards (FIPS) 200, Recommended Security Controls for Federal Information Systems. The plan shall

be reviewed and updated in accordance with NIST SP 800-26, Security Self-Assessment Guide for Information Technology Systems, and FIPS 200, on a yearly basis.

(ii) The risk assessment shall be prepared consistent, in form and content, with NIST SP 800-30, Risk Management Guide for Information Technology Systems, and any additions/augmentations described in NPR 2810. The risk assessment shall be updated on a yearly basis.

(iii) The FIPS 199 assessment shall identify all information types as well as the “high water mark,” as defined in FIPS 199, of the processed, stored, or transmitted information necessary to fulfill the contractual requirements.

(2) The Contractor shall produce contingency plans consistent, in form and content, with NIST SP 800-34, Contingency Planning Guide for Information Technology Systems, and any additions/augmentations described in NPR 2810. The Contractor shall perform yearly “Classroom Exercises.” “Functional Exercises,” shall be coordinated with the Center CIOs and be conducted once every three years, with the first conducted within the first two years of contract award. These exercises are defined and described in NIST SP 800-34.

(3) The Contractor shall ensure coordination of its incident response team with the NASA Incident Response Center (NASIRC) and the NASA Security Operations Center, ensuring that incidents are reported consistent with NIST SP 800-61, Computer Security Incident Reporting Guide, and the United States Computer Emergency Readiness Team’s (US-CERT) Concept of Operations for reporting security incidents. Specifically, any confirmed incident of a system containing NASA data or controlling NASA assets shall be reported to NASIRC within one hour that results in unauthorized access, loss or modification of NASA data, or denial of service affecting the availability of NASA data.

(4) The Contractor shall ensure that its employees, in performance of the contract, receive annual IT security training in NASA IT Security policies, procedures, computer ethics, and best practices in accordance with NPR 2810 requirements. The Contractor may use web-based training available from NASA to meet this requirement.

(5) The Contractor shall provide NASA, including the NASA Office of Inspector General, access to the Contractor’s and subcontractors’ facilities, installations, operations, documentation, databases, and personnel used in performance of the contract. Access shall be provided to the extent required to carry out IT security inspection, investigation, and/or audits to safeguard against threats and hazards to the integrity, availability, and confidentiality of NASA information or to the function of computer systems operated on behalf of NASA, and to preserve evidence of computer crime. To facilitate mandatory reviews, the Contractor shall ensure appropriate compartmentalization of NASA information, stored and/or processed, either by information systems in direct support of the contract or that are incidental to the contract.

(6) The Contractor shall ensure that system administrators who perform tasks that have a material impact on IT security and operations demonstrate knowledge appropriate to those tasks. Knowledge is demonstrated through the NASA System Administrator Security Certification Program. A system administrator is one who provides IT services (including network services, file storage, and/or web services) to someone other than themselves and takes or assumes the responsibility for the security and administrative controls of that service. Within 30 days after contract award, the Contractor shall provide to the Contracting Officer a list of all system administrator positions and personnel filling those positions, along with a schedule that ensures certification of all personnel within 90 days after contract award. Additionally, the Contractor should report all personnel changes which impact system administrator positions within 5 days of the personnel change and ensure these individuals obtain System Administrator certification within 90 days after the change.

(7) The Contractor shall ensure that NASA’s Sensitive But Unclassified (SBU) information as defined in NPR 1600.1, NASA Security Program Procedural Requirements, which includes privacy information, is encrypted in storage and transmission.

(8) When the Contractor is located at a NASA Center or installation or is using NASA IP address space, the Contractor shall --

(i) Submit requests for non-NASA provided external Internet connections to the Contracting Officer for approval by the Network Security Configuration Control Board (NSCCB);

(ii) Comply with the NASA CIO metrics including patch management, operating systems and application configuration guidelines, vulnerability scanning, incident reporting, system administrator certification, and security training; and

(iii) Utilize the NASA Public Key Infrastructure (PKI) for all encrypted communication or non-repudiation requirements within NASA when secure email capability is required.

(c) Physical and Logical Access Requirements.

(1) Contractor personnel requiring access to IT systems operated by the Contractor for NASA or interconnected to a NASA network shall be screened at an appropriate level in accordance with NPR 2810 and Chapter 4, NPR 1600.1, NASA Security Program Procedural Requirements. NASA shall provide screening, appropriate to the highest risk level, of the IT systems and information accessed, using, as a minimum, National Agency Check with Inquiries (NACI). The Contractor shall submit the required forms to the NASA Center Chief of Security (CCS) within fourteen (14) days after contract award or assignment of an individual to a position requiring screening. The forms may be obtained from the CCS. At the option of NASA, interim access may be granted pending completion of the required investigation and final access determination. For Contractors who will reside on a NASA Center or installation, the security screening required for all required access (e.g., installation, facility, IT, information, etc.) is consolidated to ensure only one investigation is conducted based on the highest risk level. Contractors not residing on a NASA installation will be screened based on their IT access risk level determination only. See NPR 1600.1, Chapter 4.

(2) Guidance for selecting the appropriate level of screening is based on the risk of adverse impact to NASA missions. NASA defines three levels of risk for which screening is required (IT-1 has the highest level of risk).

(i) IT-1 -- Individuals having privileged access or limited privileged access to systems whose misuse can cause very serious adverse impact to NASA missions. These systems include, for example, those that can transmit commands directly modifying the behavior of spacecraft, satellites or aircraft.

(ii) IT-2 -- Individuals having privileged access or limited privileged access to systems whose misuse can cause serious adverse impact to NASA missions. These systems include, for example, those that can transmit commands directly modifying the behavior of payloads on spacecraft, satellites or aircraft; and those that contain the primary copy of "level 1" information whose cost to replace exceeds one million dollars.

(iii) IT-3 -- Individuals having privileged access or limited privileged access to systems whose misuse can cause significant adverse impact to NASA missions. These systems include, for example, those that interconnect with a NASA network in a way that exceeds access by the general public, such as bypassing firewalls; and systems operated by the Contractor for NASA whose function or information has substantial cost to replace, even if these systems are not interconnected with a NASA network.

(3) Screening for individuals shall employ forms appropriate for the level of risk as established in Chapter 4, NPR 1600.1.

(4) The Contractor may conduct its own screening of individuals requiring privileged access or limited privileged access provided the Contractor can demonstrate to the Contracting Officer that the procedures used by the Contractor are equivalent to NASA's personnel screening procedures for the risk level assigned for the IT position.

(5) Subject to approval of the Contracting Officer, the Contractor may forgo screening of Contractor

personnel for those individuals who have proof of a --

- (i) Current or recent national security clearances (within last three years);
 - (ii) Screening conducted by NASA within the last three years that meets or exceeds the screening requirements of the IT position; or
 - (iii) Screening conducted by the Contractor, within the last three years, that is equivalent to the NASA personnel screening procedures as approved by the Contracting Officer and concurred on by the CCS.
- (d) The Contracting Officer may waive the requirements of paragraphs (b) and (c)(1) through (c)(3) upon request of the Contractor. The Contractor shall provide all relevant information requested by the Contracting Officer to support the waiver request.
- (e) The Contractor shall contact the Contracting Officer for any documents, information, or forms necessary to comply with the requirements of this clause.
- (f) At the completion of the contract, the contractor shall return all NASA information and IT resources provided to the contractor during the performance of the contract and certify that all NASA information has been purged from contractor-owned systems used in the performance of the contract.
- (g) The Contractor shall insert this clause, including this paragraph (g), in all subcontracts
- (1) Have physical or electronic access to NASA's computer systems, networks, or IT infrastructure; or
 - (2) Use information systems to generate, store, process, or exchange data with NASA or on behalf of NASA, regardless of whether the data resides on a NASA or a contractor's information system.

(End of clause)

I.5 1852.215-84 OMBUDSMAN (OCT 2003)

- (a) An ombudsman has been appointed to hear and facilitate the resolution of concerns from offerors, potential offerors, and contractors during the pre-award and post-award phases of this acquisition. When requested, the ombudsman will maintain strict confidentiality as to the source of the concern. The existence of the ombudsman is not to diminish the authority of the contracting officer, the Source Evaluation Board, or the selection official. Further, the ombudsman does not participate in the evaluation of proposals, the source selection process, or the adjudication of formal contract disputes. Therefore, before consulting with an ombudsman, interested parties must first address their concerns, issues, disagreements, and/or recommendations to the contracting officer for resolution.
- (b) If resolution cannot be made by the contracting officer, interested parties may contact the installation Ombudsman, Ms. Robin N. Henderson, George C. Marshall Space Flight Center, DE01, Building 4200, Marshall Space Flight Center, AL 35812, telephone: 256-544-1919, facsimile: 256-544-7920, and e-mail address: Robin.N.Henderson@nasa.gov.

Concerns, issues, disagreements, and recommendations which cannot be resolved at the installation may be referred to the NASA ombudsman, the Director of the Contract Management Division, at 202-358-0445, facsimile 202-358-3083, e-mail, james.a.balinskas@nasa.gov. Please do not contact the ombudsman to request copies of the solicitation, verify offer due date, or clarify technical requirements. Such inquiries shall be directed to the contracting officer or as specified elsewhere in this document.

(ALTERNATE D) (JUN 2000)

- (c) If this is a task or delivery order contract, the ombudsman shall review complaints from contractors and ensure they are afforded a fair opportunity to be considered, consistent with the procedures of the contract.

(End of Clause)