

 <b>Independent Verification &amp; Validation Program</b>	<b>Gaining Physical and Electronic Access to NASA IV&amp;V Resources</b>	<b>IVV 03 Version: I Effective Date: April 21, 2015</b>
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AUTHORITY		DATE
Jeffrey Northey (original signature on file)	IMS Manager	04/21/2015
David Sheldon (original signature on file)	Process Owner	12/01/2014

REFERENCES	
Document ID/Link	Title
Form 1801	NASA IV&V Facility In/Change-Processing
Form 1803	NASA IV&V Facility Out-Processing
Form I-9	USCIS Employment Eligibility Verification
GPR 1600.1	Goddard Security Requirements
<a href="#">GSFC Form 24-27</a>	Locator and Information Services Tracking System (LISTS) Data
<a href="#">HSPD-12</a>	Homeland Security Presidential Directive-12
IVV QM	NASA IV&V Quality Manual
IVV 16	Control of Records
NPD 1600.2	NASA Security Policy
NPR 1441.1	NASA Records Management Program Requirements
NPR 1600.1	NASA Security Program Procedural Requirements
<a href="#">OF 306</a>	Declaration for Federal Employment
<a href="http://ohcm.ndc.nasa.gov/">http://ohcm.ndc.nasa.gov/</a>	GSFC Office of Human Capital Management (OHCM) website
<a href="http://www.opm.gov/e-qip/">http://www.opm.gov/e-qip/</a>	e-QIP website
<a href="https://satern.nasa.gov">https://satern.nasa.gov</a>	NASA SATERN website
<a href="#">Employee Orientation Checklist</a>	Employee Orientation Checklist
<a href="#">New Employee Guide</a>	New Employee Guide
<a href="https://epss.nasa.gov">https://epss.nasa.gov</a>	Foreign National Management process

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If any process in this document conflicts with any document in the NASA Online Directives Information System (NODIS), this document shall be superseded by the NODIS document. Any external reference shall be monitored by the Process Owner for current versioning.

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## 1.0 Purpose

The purpose of this system level procedure (SLP) is to establish In-Processing, Change-Processing, and Out-Processing procedures for employees and customers needing physical and/or electronic access to NASA IV&V resources. These procedures meet the standards of the HSPD (Homeland Security Presidential Directive)-12 and local requirements for gaining physical/logical access to NASA IV&V resources.

## 2.0 Scope

This SLP applies to all prospective and existing NASA IV&V personnel, including: Civil Service and Contract employees, and on- and off-site employees. This SLP also applies to anyone who has a legitimate requirement for access to a NASA IV&V information system. All personnel processing stay in synch with Agency and GSFC higher level procedures.

NASA requires certain credentials in order to accommodate proper badge/information technology (IT) processing for applicants, regardless of whether they are new, making changes, or leaving the NASA IV&V Program.

## 3.0 Definitions and Acronyms

Official NASA IV&V roles and terms are defined in the [Quality Manual](#). Specialized definitions identified in this SLP are defined below.

### 3.1 Annual Information Technology (IT) Security and Privacy Awareness Course

The Annual IT Security and Privacy Awareness Course is training required for all applicants requesting computer access. All applicants requesting access to NASA systems must complete and pass the current version of the Annual IT Security and Privacy Awareness course through the System for Administration, Training, and Educational Resources for NASA (SATERN) (<https://satern.nasa.gov>).

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### **3.2 Applicant**

The Applicant is anyone requesting unescorted physical or electronic access to NASA IV&V resources. The applicant is responsible for submitting all credentials necessary for requesting physical or electronic access to NASA facilities or resources. The employer of an applicant may submit forms and notifications on behalf of the applicant.

### **3.3 e-QIP**

The Electronic Questionnaire for Investigations Processing system (e-QIP) is part of an e-government initiative sponsored by the United States Office of Personnel Management (OPM). The e-QIP system allows the applicant to electronically enter, update, and transmit personal investigative data over a secure Internet connection to the employing agency for review and approval.

### **3.4 Foreign National**

A Foreign National is any person who is not a citizen of the United States. Foreign National access shall be requested in IdMAX.

### **3.5 Goddard Space Flight Center (GSFC) Greenbelt Security**

GSFC Greenbelt Security performs background investigations and authorizes identities in IdMAX for the badging portion of the In-Processing procedure.

### **3.6 Identity Management and Account Exchange (IdMAX)**

IdMAX is an Agency Web application used by the PIV Requester for identity creation and In/Change/Out-Processing for Applicants.

### **3.7 National Agency Check with Inquiries (NACI)**

NACI is the minimum level of investigation required of Federal employees as a condition of employment with the Federal government and for contract employees as a condition for access to Federal facilities and information systems. It includes a check of law enforcement records and

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written inquiries to schools, police departments, and other references to verify an Applicant's status.

### **3.8 New Employee Orientation**

The New Employee Orientation document familiarizes new employees with the NASA IV&V Program and helps ensure safety while on site; located at the NASA IV&V Program website: [NASA - NASA IV&V Program - For IV&V Employees - New Employee Guide](#). The employee orientation check list is located at [IV&V New Employee](#).

### **3.9 Permanent Employee**

A permanent employee is any civil service or contract employee requesting access to a NASA facility for 180 days or more. All permanent employees must be PIV badged.

### **3.10 Personally Identifiable Information (PII)**

Personally Identifiable Information is any information about an individual, including, but not limited to, education, financial transactions, medical history, and criminal or employment history and information which can be used to distinguish or trace an individual's identity. Examples include: date of birth, place of birth, social security number, alien registration number and mother's maiden name.

### **3.11 Personal Identity Verification (PIV) Authorizer**

The PIV Authorizer is a GSFC Security Official civil service employee who initiates any required background investigation for the applicant. The PIV Authorizer communicates with Security regarding the applicant's need for enrollment, the applicant's e-QIP, etc., and authorizes the applicant for enrollment and badge issuance.

### **3.12 PIV Enrollment**

PIV enrollment is the process that prompts an investigation. For PIV enrollment, the employee must submit electronic copies of various credentials, as well as two documents from the Lists of Acceptable

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Documents as listed on United States Citizenship and Immigration Services (USCIS) Form I-9, needed by the Office of Personnel Management (OPM). For detailed information on acceptable documents, see the [Form I-9 Document List](#).

### **3.13 PIV Requester**

The PIV Requester provides initial data about the applicant and submits a PIV request in IdMAX on behalf of the applicant. The PIV requestor is the individual who submits the necessary information on behalf of the PIV Applicant to initiate the process of requesting a PIV credential. The PIV Requester shall be an individual of one of the following categories depending on the applicant affiliation:

- a. Contract Manager or authorized administrator of a specific NASA program or contract;
- b. NASA Office of Human Capital Management (OHCM) for prospective or current NASA employees;
- c. NASA grant provider for grantees; or
- d. NASA Contracting Officer Representative (COR)/Project Manager (PM) for Foreign National visit requests and onboarding.

### **3.14 PIV Sponsor**

The PIV Sponsor is a NASA civil service employee who validates the information between the applicant and the Agency in IdMAX. For NASA IV&V civil service employees, the sponsor is the GSFC Office of Human Capital Management ([OHCM](#)). For contract employees, the sponsor is the COR, Alternate COR, or other NASA civil service employee responsible for work requirements. The PIV sponsor/COR is also responsible to submit a new company information form to the Security office for all new contracts not already in IdMAX.

### **3.15 RSA SecurID®Token**

An RSA SecurID® Token is a portable device required by NASA for remote access to NASA IT resources. The RSA token should be requested by the PIV requestor when creating the new identity in NAMS.

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### 3.16 Temporary Badge

A local temporary badge will be issued by IV&V Security while the issuance of an official PIV badge is pending. Note: The official PIV badge takes approximately 14 business days to arrive from MSFC.

### 3.17 Temporary Applicant

A temporary applicant is an applicant who is requesting access to NASA IV&V resources and/or facilities for less than 180 days and will not be PIV enrolled. A temporary applicant, like any other applicant, must complete Annual IT Security and Privacy Awareness training. **Note:** Temporary applicants will receive a temporary badge.

### 3.18 Acronyms

AO	Administrative Officer
CAC	Common Access Card
COR	Contracting Officer Representative
DoD	Department of Defense
e-QIP	Electronic Questionnaires for Investigations Processing
EOD	Entrance On Duty
EODS	Entrance On Duty System
EPSS	Enterprise Performance Support System
GPR	Goddard Procedural Requirements
GSFC	Goddard Space Flight Center
HSPD	Homeland Security Presidential Directive
ICAM	Identity, Credential, and Access Management
IdMAX	Identity Management and Account Exchange
IMS	NASA IV&V Management System
ID	Identity
IT	Information Technology
JPAS	Joint Personnel Adjudication System
LDAP	Lightweight Directory Access Protocol
MSFC	Marshall Space Flight Center
NACI	National Agency Check with Inquiries
NAMS	NASA Access Management System
NCAD	NASA Consolidated Active Directory
NF	NASA Form

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NODIS	NASA Online Directives Information System
NOMAD	NASA Operational Messaging and Directory Service
NPD	NASA Policy Directive
NPR	NASA Procedural Requirements
OF	OPM Form
OHCM	Office of Human Capital Management
OPM	Office of Personnel Management
O&M	Operations and Maintenance
PII	Personally Identifiable Information
PIV	Personal Identity Verification
PKI	Public Key Infrastructure
PM	Project Manager
SATERN	System for Administration, Training, and Educational Resources for NASA
SLP	System Level Procedure
USCIS	United States Citizenship and Immigration Services
UUPIC	Universal Uniform Personal Identification Code
VPN	Virtual Private Network
WTTS	Workforce Transformation Tracking System

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## 4.0 Process

### 4.1 In-Processing and Identity Creation

#### 4.1.1 NASA Contractor new hires

After COR review, the hiring company (PIV Requester) shall electronically submit an [IMS Form 1801](#) and a [GSFC Form 24-27](#) to the Program Support Office (PSO) Operations and Maintenance (O&M) Lead as well as the IV&V Program Security Supervisor. The hiring company shall submit all required forms and request the new identity at least 15 business days in advance of the employee actual start date. Note: All documents that contain PII shall be sent NASA Public Key Infrastructure (PKI) encrypted.

NASA Contractor hiring company shall create and request the new identity in the NASA Identity Management tool. ([ldmax.nasa.gov](http://ldmax.nasa.gov)). Note: The PIV requestor must take required SATERN PIV training: Identity, Credential, and Access Management (ICAM) Overview and PIV requestor. The requestor must also submit a request in NASA Access Management System (NAMS) for this application access.

For Contractors the requestor is the contract onboarding representative. The requestor enters the individuals Personal Identifiable Information into IdMAX.

Arrangements for onsite office space shall be pre-arranged with the Program Support Office (PSO).

The PIV requestor is responsible to ensure once the employee is on boarded that new NASA email address and other contact information is correct in IdMAX.

Once the identity is requested, the NASA COR will receive an automated email and must sponsor the identity in the NASA Identity Management tool. ([ldmax.nasa.gov](http://ldmax.nasa.gov))

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#### 4.1.1.1 Foreign Nationals

For more information regarding NASA IV&V access for Foreign Nationals, contact the GSFC Greenbelt International Visits Coordinator, Deborah Brasel at 301.286.6876 or [Deborah.A.Brasel@nasa.gov](mailto:Deborah.A.Brasel@nasa.gov).

#### 4.1.1.2 e-QIP and PIV Enrollment

Once the contractor hiring manager requester creates the Applicant's e-mail account in IdMAX, the Applicant will receive an email from GSFC notifying the Applicant to begin the e-QIP process. The Applicant may access the e-QIP system via the e-QIP website (<http://www.opm.gov/e-qip/>). Applicant will receive the e-QIP via the email address provided by the requestor on Form 24-27.

The applicant will have **10 business days** to complete the e-QIP process. Upon completion of the e-QIP process, the Applicant must print and submit the two e-QIP signature forms, as well as OPM Form [OF 306](#), *Declaration for Federal Employment* to GSFC Security.

Note: The e-QIP HELPLINE is 301-286-8000.

Security will call the applicant when the enrollment process is ready to begin. The Applicant should schedule an onsite appointment with the IV&V Security office @ 304.367.8200 to complete the PIV enrollment process. The appointment **must be made within three business days** of receiving notice of enrollment eligibility or delays could occur.

Badging and fingerprinting for NASA IV&V Program access typically occurs onsite in Fairmont WV; however, if it is more convenient for the new employee to process (fingerprinting and badging), at another site or center, it should be requested in advance to eliminate delays. The Applicant must indicate on the in-processing Form 1801, section 3, the site or Center desired for processing, and inform Security of

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any special requirements. An appointment shall be set up in advance to ensure efficient and timely service.

For PIV Enrollment, the Applicant must:

- Provide two [USCIS Form I-9](#) documents, to be electronically scanned
- Be fingerprinted electronically
- Be photographed
- Electronically sign an agreement with the NASA Privacy Act Statement

#### **4.1.1.3 Badge Processing and Annual IT Security Course**

Before a PIV badge is issued, the GSFC PIV Authorizer must authorize the Applicant's identity to complete PIV Enrollment. The NASA central badging facility, Marshall Space Flight Center (MSFC), will be notified when PIV Enrollment is completed. The Applicant will receive a Temporary Local Badge from the IV&V Security office until the completion of the investigation and issuance of PIV a permanent badge.

The Applicant's badge will be created at the NASA central badging facility located at MSFC. The IV&V Security office shall encode the Applicant's badge upon its arrival (**typically takes 14 business days**) at the NASA IV&V Program, and then notify the Applicant when the badge is ready to be finalized. Fingerprint recognition is required to finalize a badge. On-site Applicants must go to the Building 1 first floor security desk, 100 University Drive, to receive the badge. Off-site Applicants who pre-coordinated enrollment at another center shall go to the NASA Center that has contacted him/her about receiving the badge.

Finalization of the badge indicates that the Applicant's identity is complete, and the Applicant is granted physical access to NASA IV&V facilities. To gain electronic access, the Applicant is required to complete the current version of the Annual IT Security and Privacy Awareness course

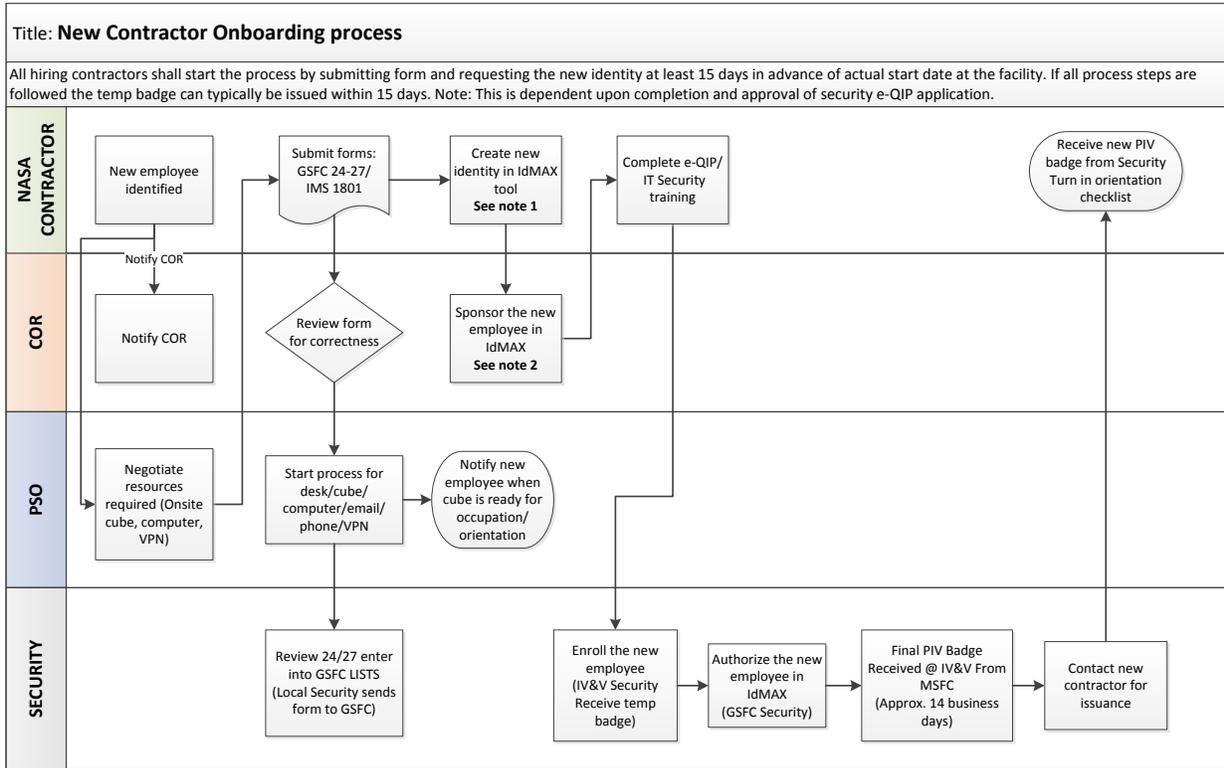
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through [SATERN](#). Please contact the NASA IV&V IT Help Desk at 304-367-8237 for assistance on accessing the SATERN system.

Proof of completing the current version of the Annual IT Security and Privacy Awareness course is needed to begin the process of getting an RSA Token and a Virtual Private Network (VPN) account for remote network access. Provide completion certificate to the PSO IT Lead. Once these steps are completed, the applicant's RSA Token will be requested. Upon receipt of the token, the applicant should have electronic access to NASA IV&V resources.

The contractor hiring manager and the new employee should download and use the [employee orientation checklist](#) to help ensure that all items are completed and to assist with onboarding. Once the Applicant is onboard, the contractor hiring manager is required to ensure that the applicants email address is updated to the new IVV.NASA.GOV address.

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**Note 1: Contractor shall have an onboarding representative or Program manager that will be required to take 2 short courses in SATERN: ICAM overview (Course HQ-003-09) and ICAM requestor (Course HQ-020-07)**

**Note 2: NASA COR's must take ICAM overview and ICAM Sponsor training. Must also fill out and submit new contract & company information form and send to GSFC Security Office (Rhonda McCarter).**

IdMAX: <https://idmax.nasa.gov>

**Note 3: As noted, Some Security functions take place locally others take place at GSFC**

**Note 4: Please use the [Employee Orientation Checklist](#) to help guide you through the process**

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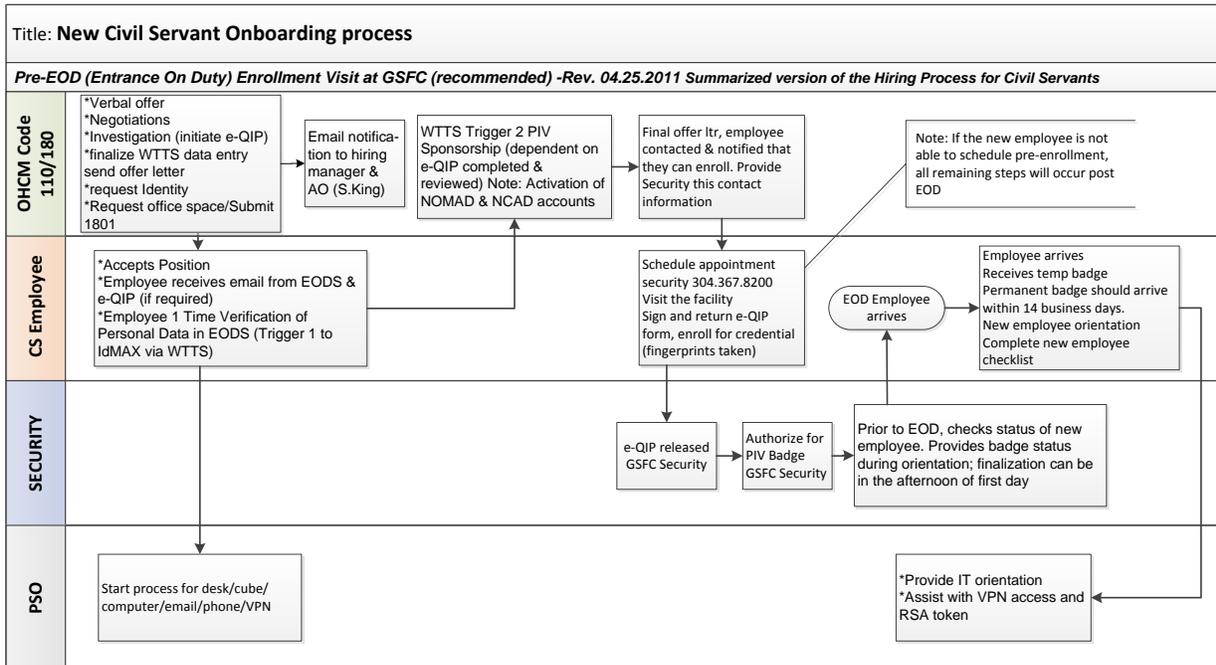
### 4.1.2 Civil Servant new hires

Civil Servant new hires identity creation and requests will be completed by GSFC OHCM.

The local OHCM POC shall pre-coordinate with the PSO O&M Lead for office space and submit Form 1801 at least 15 days prior to the employee's start date.

Once the new employee is onboard the local OHCM POC shall schedule a meeting and introduce them to their onboarding representative.

The new employee shall have 10 days to complete e-QIP once the email is received. Note: The e-QIP HELPLINE is 301-286-8000.



Trigger 2 is a Key Event which will enable a pre-EOD visit to begin the PIV/Smartcard badging **Note:** Pre-EOD visit is recommended but may not be possible for employees who are relocating to the area.

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### 4.1.3 Tenant in-processing

Any tenant that is on an approved access list and has a legitimate requirement for access and has a valid Department of Defense Common Access Card (CAC) may be allowed physical access to tenant leased space.

Tenants without a valid CAC, must perform the below processes:  
Approved tenants that require building entry are to request physical access to their building leased spaces by providing security documentation in the form of a CD-414 or Joint Personnel Adjudication System (JPAS) that shows the employee requesting access has been approved by the Federal Sponsoring Federal agency (e.g., NOAA/ARMY) and has a minimum of a NACI, National Agency Check with Inquiries clearance. The initial request for access shall come from the Federal government POC.

Once this clearance is received the Tenant Federal hiring authority shall submit a Form 1801 (located on the NASA IV&V Program website) to the PSO O&M Lead if permanent unescorted access is required.

The NASA COR/PM will request and sponsor the new identity in IdMAX. Once requested and approved in IdMAX (approximately 7-10 business days) the employee will be contacted by IV&V Security office for enrollment and badge issuance.

### 4.1.4 Remote IT access to IV&V tools for non IV&V NASA employees (VPN only)

Employees must have a valid justification for requesting access to a NASA IV&V Program tool.

A request for remote IT access shall come from a NASA IV&V COR or PM by submitting a Form 1801, and filling out section 1, and adding email address, tool(s), and NASA COR/PM to section 2.

In-processing an individual to just have VPN access does limit the license and performance constraints to a single VPN appliance;

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however, by not following the offsite user process means that the individual will not receive all the functions and accessibility that IV&V provides (some are tied to having an active directory account).

This means an individual in-processed with VPN-only permissions will NOT have some features (including but not limited to):

- ECM access
- ITC share access
- Pegasus share access
- Terminal server access
- LDAP based services (Confluence, JIRA, etc.)
- UNIX system tool accounts
- IVV email aliases
- IVV directory entry
- Included in any IVV automated email lists

The NASA COR/PM is responsible for out-processing the employee when access is no longer required by submitting a Form 1803.

#### **4.1.5 General Remote IT Access to the IV&V VPN and Tools**

Remote VPN and IV&V Tools shall be a NAMS request and sponsored by a NASA IV&V COR/PM, Office Lead, or supervisor. Some tools may be sponsored by contractor personnel. A NAMS request is required for local and off-site civil service employees, contractors, and affiliated personnel.

#### **4.2 Change-Processing**

An applicant who is requesting a change in his or her name, address, any other non-contractual change, or contract only change should fill out [Form 1801](#); only filling out the fields applicable to the change being requested. Note: Applicants do not need to submit Form 1801 for office relocation, but rather should follow the [Office Relocation process](#) found on the [services page](#).

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The applicant or employer shall submit the completed Form 1801 to [David.P.Sheldon@nasa.gov](mailto:David.P.Sheldon@nasa.gov) and [Donna.S.Ozburn@nasa.gov](mailto:Donna.S.Ozburn@nasa.gov), who will be responsible for ensuring the implementation of the requested change.

If an employee changes both contract and contractor (company), the employee's former contractor must complete and submit Form 1803, and the employee's new contractor must complete Form 1801.

### **4.3 Out-Processing**

Prior to the last day of service with the NASA IV&V Program, anyone who was In-Processed is required to submit [Form 1803](#). For **external customers**, it is the responsibility of the applicable NASA IV&V PM or task lead to coordinate and ensure Form 1803 is signed and submitted when access is no longer required. This is required to be completed within 5 business days of the employees last day.

An employee or employer shall inform their Supervisor and COR of their out-processing plans prior to submitting Form 1803. The employee or employer is responsible for ensuring that sections 1, 2, and 3 are filled out completely and have received the proper initials.

Upon submitting Form 1803, the outgoing applicant and the employer are responsible for ensuring that the vacated office space is cleaned out and that all government items (e.g., badge, keys, books, tokens, binders, DVDs/CDs) have been transferred to the proper personnel or filed with the Records Team.

The completed Form 1803 should be submitted to O&M Lead, David Sheldon. Both the IT Lead, Doug Dorrer, and the PSO Lead, Donna Ozburn, are backups for this process.

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## 5.0 Metrics

Any metrics associated with this SLP are established and tracked within the NASA IV&V Metrics Program.

## 6.0 Records

The following records will be generated or updated and filed in accordance with this SLP and IVV 16, *Control of Records*, and in reference to NPR 1441.1, *NASA Records Management Program Requirements*.

Record Name	Original	Vital	Responsible Person	Retention Requirement	Location
In/Change-Processing Form 1801 (Form 180-01 prior to October 20, 2009)	Y	N	O&M Lead	Retain for a period of time depending on the need for use; destroy or otherwise dispose of when superseded or no longer needed (1/104)	ECM System
Out-Processing Form 1803 (Form 180-03 prior to October 20, 2009)	Y	N	O&M Lead	Retain for a period of time depending on the need for use; destroy or otherwise dispose of when superseded or no longer needed (1/104)	ECM System
Employee Orientation Checklist signature page	Y	N	O&M Lead	Retain for a period of time depending on the need for use; destroy or otherwise dispose of when superseded or no longer needed (1/104)	IV&V Security



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**VERSION HISTORY**

Version	Description of Change	Rationale for Change	Author	Effective Date
Basic	Initial Release		Zachary Stewart	10/01/2009
A	Updated Reference Documents to point to new In/Change-Processing and Out-Processing forms		Sara Cain	10/20/2009
B	Updated verbiage in Section 6.0, <i>Records</i> , and precedence statement after Reference Documents table		David Sheldon	06/22/2010
C	Update Sections 4.1.1 and 4.3 re COTR notification		Zachary Stewart	01/18/2011
D	Increase scope to include external customers; add Applicant and PII definitions; add links for IMS Forms 1801/1803; remove NF 1760 references; and add email addresses to submit forms		David Sheldon	08/02/2011
E	Add references. General updates.	Improve clarity.	David Sheldon	05/11/2012
F	Add Foreign National references and links. Also add note about Foreign National Visitors. General updates.		David Sheldon	09/19/2012
G	In-processing of IV&V employees at other NASA sites	PAR 2012-P-373:	David Sheldon	11/08/2012

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**VERSION HISTORY**

Version	Description of Change	Rationale for Change	Author	Effective Date
H	Updated to reflect the new Greenbelt process: Update Scope. Remove Identity Manager; update PIV Requester. Remove much of IV&V process and document and point to GSFC website. Add GSFC Form 24-27 and link to References table.	CAR 2013-C-395. Under the new protective services contract (PSC), IV&V no longer has a specific local process.	David Sheldon	04/25/2014
I	<ol style="list-style-type: none"><li>1. Add Section 4.1.5, General Remote IT Access to the IV&amp;V VPN and Tools.</li><li>2. Clarify definition of 3.1, Annual IT Security training, by adding "the current version" and in Section 4.1.1.3.</li><li>3. Add acceptance of DoD Common Access Card (CAC) for tenant physical access.</li></ol>	<ol style="list-style-type: none"><li>1. To document and clarify policy for who may sponsor access to VPN and IV&amp;V tools.</li><li>2. Clarify that the current version of the Annual IT Security training must be completed.</li><li>3. Reduce government double-work.</li></ol>	Doug Dorrer  David Sheldon	04/21/2015