

 <b>Independent Verification &amp; Validation Program</b>	<b>Work Instruction for Making Purchases</b>	<b>IVV 06-4 Version: C Effective Date: October 20, 2016</b>
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AUTHORITY		DATE
Jeffrey Northey (original signature on file)	IMS Manager	10/20/2016
Kaci Reynolds (original signature on file)	Process Owner	10/19/2016

REFERENCES	
Document ID/Link	Title
IVV QM	NASA IV&V Quality Manual
IVV 06	Procurement
IVV 10	Software and Hardware Configuration Management
IVV 11	Enterprise Architecture (IT Governance)
IVV 16	Control of Records
NPR 1441.1	NASA Records Management Program Requirements
<a href="#">ECM.../DELIVER/ Program Financial Management/ 08. Working Procedures/ 03. Purchasing/</a>	Internal Information Regarding Purchase Card (P-Card) Transactions
<a href="http://www.sam.gov">http://www.sam.gov</a>	System For Award Management
<a href="https://nprop.nasa.gov">https://nprop.nasa.gov</a>	N-PROP Equipment

**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document conflicts with any document in the NASA Online Directives Information System (NODIS), this document shall be superseded by the NODIS document.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 Work Instruction (WI) is to establish a consistent method for making both IT and non-IT related goods and services, including guest services, purchases within the NASA IV&V Program. The intent is to promote good communication and decision making.

## 2.0 Scope

This WI applies to the initiation, approval, execution, receipt, and tracking of all NASA IV&V purchases. Establishing a new contract vehicle or any contract modification is covered by IVV 06, *Procurement*.

## 3.0 Definitions and Acronyms

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

### 3.1 Guest Services

Guest Services are any services, such as speaking at a NASA IV&V sponsored event, that are not already covered by an existing NASA IV&V Contract vehicle. These events may include: IV&V annual workshop, outreach events, educational events, public affairs, and ceremonial functions.

### 3.2 P-card

The government P-card is a purchasing instrument issued through a commercial bank to a Government agency to facilitate small purchases.

### 3.3 N-PROP

N-PROP is a Web-based tool that NASA property holders use to manage their equipment.

### 3.4 Purchase Facilitator

Purchase Facilitator initiates the purchase and facilitates communication during the process. May or may not be the Purchase Requester.

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### 3.5 Purchase Requester (Requester)

Purchase Requester is the individual who has the need for the purchase.

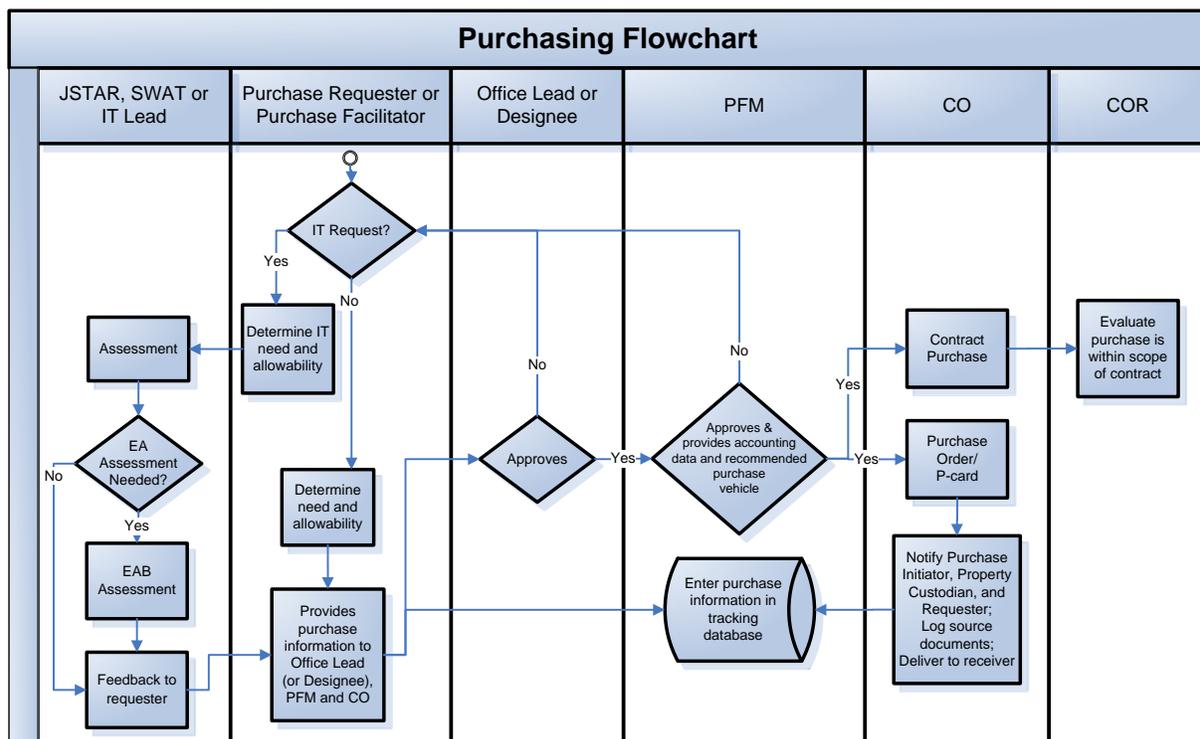
### 3.6 Acronyms

CO	Contracting Officer
COR	Contracting Officer Representative
EA	Enterprise Architecture
EAB	Enterprise Architecture Board
FAR	Federal Acquisition Regulation
GFE	Government Furnished Equipment
IMS	NASA IV&V Management System
IT	Information Technology
IVVO	IV&V Office
JSTAR	Jon McBride Software Testing and Research Lab
NODIS	NASA Online Directives Information System
NPR	NASA Procedural Requirements
PFM	Program Financial Management
QM	Quality Manual
RA	Resource Analyst
RM	Resource Manager
SCO	Strategic Communications Office
SL	Senior Leadership
SWAT	Software Assurance Tools
WI	Work Instruction

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#### 4.0 Process Flow Diagram

The following diagram depicts processes described in this document, and the responsibilities and actions that shall be performed by process participants. Any information supplemental to the depicted process will appear after the diagram.



To start the purchasing process, the requester first must determine if the purchase is an IT (software and/or hardware), a non-IT purchase request or a guest service

#### 4.1 IT Purchase Requests

- The requester must determine the following:
  - Does the IT capability already exist within the NASA IV&V Program?
    - For software – check with SWAT, JSTAR, or IT
    - For hardware – check with the IT IV&V Property Custodian
  - Is the purchase essential to the NASA mission?

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- Is the purchase 'allowable?' If not, please provide proof of Agency waiver in 'unallowable' instances.
    - A list of 'allowable' and 'unallowable' purchases is on ECM: \DELIVER\ Program Financial Management\ 08. Working Procedures\ 03. Purchasing\ Internal process for Purchase card.docx
  - The requester shall submit the request to IT, JSTAR, and SWAT via email to [jvv-it-purchasing@lists.nasa.gov](mailto:jvv-it-purchasing@lists.nasa.gov). Provide the following information about the purchase:
    - Item description
    - Quantity and Units
    - Justification of why the purchases is needed/required
2. The request will then be assessed by IT, JSTAR, or SWAT who will determine the following. Only one of the three entities' assessments is required.
- Pre-existing capability
  - Chinese parts investigation
  - Infrastructure fit – EA involvement
- IT, JSTAR, or SWAT will then provide feedback to the requester for the purchase. If required, the purchase will be assessed according to IVV 11, *Enterprise Architecture (IT Governance) Process*. Then, the purchase request will be forwarded to the Purchase Facilitator (if they are not already involved in this purchase process).
3. If the purchase is still necessary, then the Purchase Facilitator shall submit the following information to the Office Lead or Designee, PFM, and CO:
- Item Description
  - Quantity and Units
  - Unit Price
  - Total Estimated Price
  - Applicable shipping and handling based on suggested vendor option (if necessary)
  - Suggested vendor(s)
  - Required delivery date

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- Market Research in the form of three (3) competitive quotes (if greater than \$3,000) or a sole source justification – as an attachment.
- Recommended contract vehicle (with justification)

PFM will track the above items and more in a database on ECM at: \DELIVER\Program Financial Management\08. Working Procedures\03. Purchasing\ (PFM is responsible for this tracking log).

4. The office lead will reply with approval or disapproval. The lead will ensure the following:
  - Purchase is covered within the office execution plan and financial allocation
  - Their office allocation shall pay for the purchase
  - Baselines are in place to cover the planned expenditure
5. PFM will then reply with approval or disapproval. PFM and CO will collaborate to accomplish the following:
  - Ensure that the funds are approved and available for purchase
  - Provide accounting data to the CO
    - Contract purchase to be placed
    - For P-card purchase provide the following:
      - Fund
      - Fund center
      - Cost center
      - Internal order
      - WBS
      - Material group
      - Purchase Order information
6. PFM and CO will determine how to purchase the good/service.
  - If through a Purchase Order/P-card,
 

The CO determines that the order is in compliance with the FAR and will approve the purchase, place the order, distribute purchasing information and attach official record of the order. Additionally, the CO will ensure that all required source documents are retained on ECM at: \DELIVER\ Procurement & Contract Management\ PURCHASE CARD ORDERS.

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7. The CO must receive and accept all Purchase Order/P-card purchases and ensure the property is delivered to the appropriate person and the following shall be notified:
  - Purchase Facilitator
  - Requester
  - PFM
  - Property Custodian – if hardware, the property shall be tagged, tracked in the N-PROP or GFE systems, and added to the NASA IV&V Program Property List.
8. If through a contract purchase, the COR will evaluate that the purchase is within the scope of the contract. The Purchasing contractor is responsible for following their contract purchasing procedure.

#### **4.2 Non-IT Purchase Requests**

1. The requester must determine the following:
  - Does the good or service already exist within the NASA IV&V Program?
  - Is the purchase essential to the NASA mission?
  - Is the purchase 'allowable?' If not, please provide proof of Agency waiver in 'unallowable' instances.
    - A list of 'allowable' and 'unallowable' purchases is on ECM: \DELIVER\ Program Financial Management\ 08. Working Procedures\ 03. Purchasing\ Internal process for Purchase card.docx
2. If the purchase is still necessary, The Purchase Facilitator shall submit the following information to the Office Lead or Designee, PFM, and CO:
  - Item Description
  - Quantity and Units
  - Unit Price
  - Total Estimated Price
  - Applicable shipping and handling based on suggested vendor option (if necessary)
  - Suggested vendor(s)
  - Required Delivery Date

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3. The office lead will reply with approval or disapproval. The lead will ensure the following:
  - Purchase is covered within the office execution plan and financial allocation
  - Their office allocation shall pay for the purchase
  - Baselines are in place to cover the planned expenditure
4. PFM will then reply with approval or disapproval. PFM and CO will collaborate to accomplish the following:
  - Ensure that the funds are approved and available for purchase
  - Provide accounting data to the CO
    - Contract purchase to be placed
    - For P-card purchase provide the following:
      - Fund
      - Fund center
      - Cost center
      - Internal order
      - WBS
      - Material group
      - Purchase Order information
5. PFM and CO will determine how to purchase the good/service.
  - If through a Purchase Order/P-card,  
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7. If through a contract purchase, the COR will evaluate that the purchase is within the scope of the contract. The Purchasing contractor is responsible for following their contract purchasing procedure.

#### **4.3 Guest Service Requests**

1. The requester must determine the following:
  - Does the service already exist within the NASA IV&V Program?
  - Is the purchase essential to the NASA mission?
  - Is the purchase allowable? If not, please provide proof of Agency waiver in 'unallowable' instances.
    - A list of 'allowable' and 'unallowable' purchases is on ECM: \DELIVER\ Program Financial Management\ 08. Working Procedures\ 03. Purchasing\ Internal process for Purchase card.docx
  - Is there a contract available?
    - If yes, the contractor will need to review the requirements to ensure the service is covered in the statement of work.
    - If no, service vendor must provide proof of registration in [www.sam.gov](http://www.sam.gov).
2. If the guest service is still necessary, The Purchase Facilitator shall submit the following information to the Office Lead or Designee, PFM, and CO:
  - Service Description
  - Service Cost
  - Suggested vendor



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## 5.0 Metrics

Any metrics associated with this WI 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 WI 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
Purchasing Tracker Log	Y	N	PFM Lead	Retain indefinitely in agency space until no longer needed, or destroy when 75 years old, whichever is longer. (1/8B)	ECM
NASA IV&V Program Property List	Y	N	Property Custodian	Destroy or delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable. (1/78C)	ECM



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### **VERSION HISTORY**

<b>Version</b>	<b>Description of Change</b>	<b>Rationale for Change</b>	<b>Author</b>	<b>Effective Date</b>
Basic	Initial Release		Kaci Reynolds	02/12/2015
A	Updated scope	Clarifying differences between making purchases and establishing a contract vehicle.	Raju Raymond	04/16/2015
B	Removed G&A (General & Administrative)	ADR. Updated to reflect current usage. Instead of G&A use AMO (Agency Management & Operations) if needed.	Tara Perdue	05/29/2015
C	Change document to include process (flow/verbiage) from IVV 06-3 Work Instruction for Procuring Guest Services. Also other administrative changes on location of documents.	IVV 06-3 WI for Procuring Guest Services did not need to be its own WI anymore. Its content goes along with this Work Instruction for Making Purchases. The finding to consider moving 06-3 into 06-4 is from a recent internal audit resulting in PAR 2016-P-464.	Kim Langford	10/20/2016

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