

 <b>Independent Verification &amp; Validation Program</b>	<b>Procurement</b>	<b>IVV 06 Version: V Effective Date: July 22, 2016</b>
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AUTHORITY		DATE
Jeffrey Northey (original signature on file)	IMS Manager	07/22/2016
Raju Raymond (original signature on file)	Process Owner	07/21/2016

REFERENCES	
Document ID/Link	Title
GSFC 20-4	Transfer/Shipping Request
GSFC 23-59	Initiator's Acquisition Checklist
IVV QM	NASA IV&V Quality Manual
IVV 07	Financial Data Control
IVV 08	Contract Management
IVV 16	Control of Records
IVV 22	Risk Management
NF 1707	Special Approvals and Affirmations of Requisitions
NPD 1000.5	Policy for NASA Acquisition
NPR 1441.1	NASA Records Management Program Requirements
NPR 1600.2	NASA Classified National Security Information (CNSI)
NPR 7120.5	NASA Space Flight Program and Project Management Processes and Requirements
NPR 8000.4	Risk Management Procedural Requirements
<a href="https://www.acquisition.gov/far/">https://www.acquisition.gov/far/</a>	Federal Acquisition Regulation (FAR)
<a href="http://www.hq.nasa.gov/office/procurement/newreq1.htm">http://www.hq.nasa.gov/office/procurement/newreq1.htm</a>	Guidance for Writing Work Statements
<a href="http://www.hq.nasa.gov/office/procurement/regs/nfstoc.htm">http://www.hq.nasa.gov/office/procurement/regs/nfstoc.htm</a>	NASA FAR Supplement (NFS)
<a href="https://www.nssc.nasa.gov/grants">https://www.nssc.nasa.gov/grants</a>	NASA Shared Services Center (NSSC) Grants
<a href="http://procpolicy.gsfc.nasa.gov">http://procpolicy.gsfc.nasa.gov</a>	GSFC Procurement Policy

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<b>REFERENCES</b>	
Document ID/Link	Title
<a href="https://prod.nais.nasa.gov/pub/pub_library/grcover.htm">https://prod.nais.nasa.gov/pub/pub_library/grcover.htm</a>	Grant and Cooperative Agreement Handbook

**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document conflicts with any document in the NASA Online Directives Information System (NODIS), this document shall be superseded by the NODIS document.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 a consistent and documented method for acquiring products and/or services for the NASA IV&V Program.

## 2.0 Scope

This SLP outlines the actions needed to be performed by NASA IV&V Program personnel for all NASA IV&V Program purchases/acquisitions of products and/or services that are subject to the Federal Acquisition Regulation (FAR), NASA FAR Supplement (NFS), or the *Grant and Cooperative Agreement Handbook*.

If any process described in this document conflicts with any part of the FAR or NFS, this document shall be superseded by the FAR or NFS.

## 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 Contract

As per FAR 2.101, contract means a mutually binding legal relationship obligating the seller to furnish the supplies or services and the buyer to pay for them. It includes all types of commitments that obligate the Government to an expenditure of appropriated funds and that, except as otherwise authorized, are in writing. This term does not include grants or cooperative agreements (see specific definitions for grants and cooperative agreements).

### 3.2 Contracting

As per FAR 2.101, contracting is defined as purchasing, renting, leasing, or otherwise obtaining products or services from nonfederal sources. Contracting includes description (but not determination) of products and services required; selection and solicitation of sources; preparation and award of contracts; and all phases of contract administration. This term does not include making grants or cooperative agreements.

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### **3.3 Cooperative Agreement**

A cooperative agreement is a financial assistance instrument used to support or accomplish a public purpose authorized by federal statute, in which substantial involvement or collaboration is anticipated between the NASA IV&V Program and the recipient.

### **3.4 Grant**

A grant is a financial assistance instrument used to accomplish a public purpose of support or stimulation by increasing basic knowledge and understanding in aeronautics, space, and other related fields. A grant provides financial assistance to a recipient and does not obligate the recipient to furnish supplies or services for payment. However, the recipient is required to furnish an end product, which is a final report.

### **3.5 Initiator**

The Initiator is the person at the NASA IV&V Program who prepares or is otherwise responsible for initiating and/or managing a procurement activity.

### **3.6 Market Research**

Market Research is the collection and analysis of information about capabilities within the market to satisfy Agency needs.

### **3.7 Procurement Package**

The Procurement Package consists of all required documentation relating to a requirement, including, but not limited to, a statement of work (SOW), specifications, justifications for other than full and open competition (JOFOC), independent government cost estimate (IGCE), and other descriptions of the requirement. Detailed Procurement Package documentation requirements can be found in Section 4.0, *Process Flow Diagrams*.

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### 3.8 Statement of Work (SOW) or Specification

A SOW or specification is a description of Agency needs (see FAR/NFS, Part 11).

### 3.9 Acronyms

CNSI	Classified National Security Information
CO	Contracting Officer
COR	Contracting Officer Representative
FAR	Federal Acquisition Regulation
GDMS	Goddard Directives Management System
GSFC	Goddard Space Flight Center
HQ	NASA Headquarters
IEM	Integrated Enterprise Management
IGCE	Independent Government Cost Estimate
IMS	NASA IV&V Management System
JOFOC	Justifications for Other Than Full and Open Competition
NF	NASA Form
NFS	NASA FAR Supplement
NODIS	NASA Online Directives Information System
NPR	NASA Procedural Requirements
NSSC	NASA Shared Services Center
PCM	Procurement and Contract Management
PFM	Program Financial Management
PR	Procurement Request
QM	Quality Manual
RFI	Request for Information
SLP	System Level Procedure
SOW	Statement of Work
SSO	Special Security Officer

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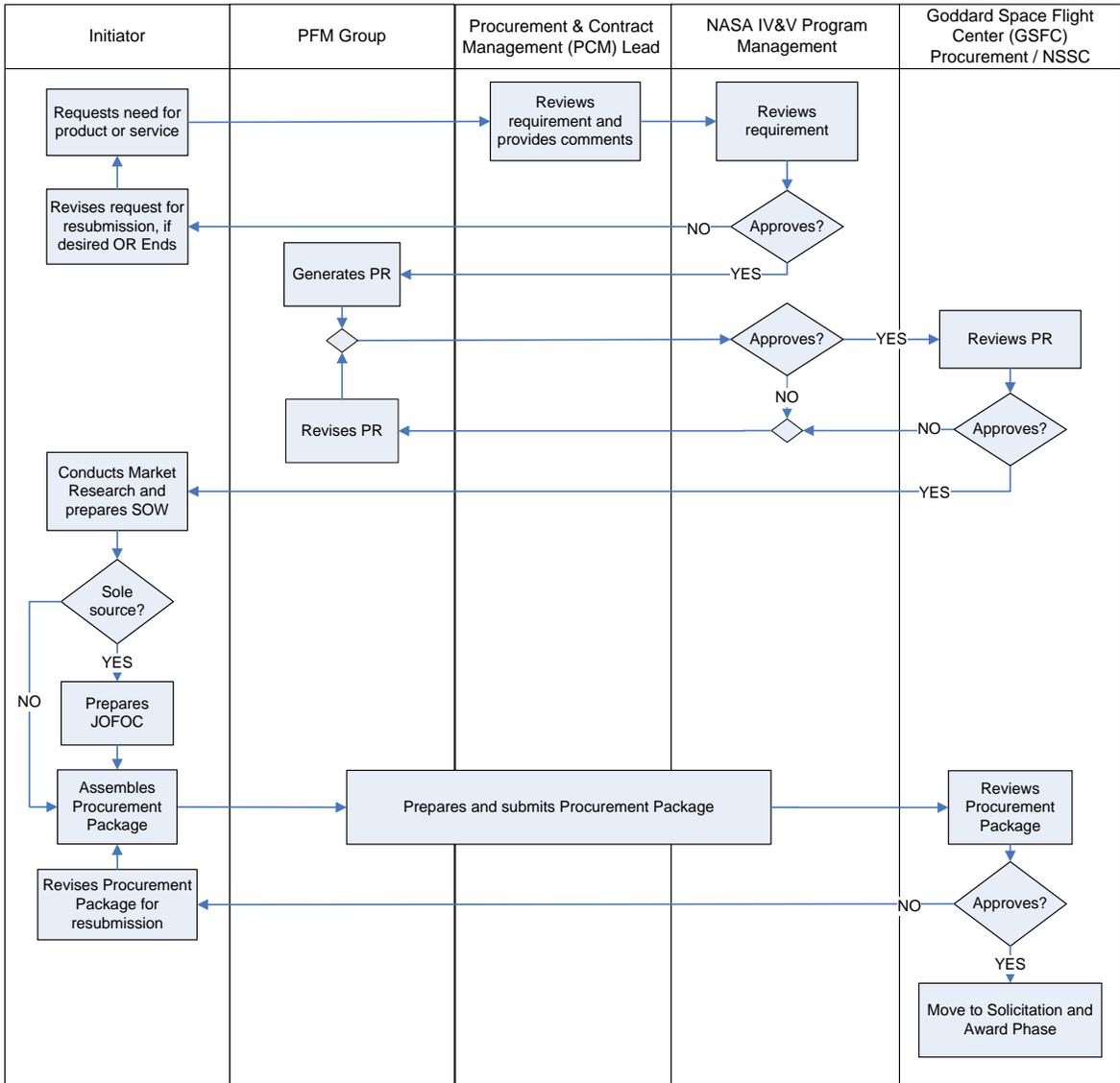
#### 4.0 Process Flow Diagrams

Procurement is accomplished by following the FAR, NASA FAR Supplement and GSFC acquisition policies and procedures. The guidance in NPD 1000.5, *Policy for NASA Acquisition*, provides the overall policy framework of NASA's procurement/acquisition process. The *Grant and Cooperative Agreement Handbook*, establishes specific policies and procedures for grants and cooperative agreements. In general, procurement is accomplished in four major phases:

1. Pre-solicitation
2. Solicitation and Award
3. Administration
4. Closeout

The following diagram(s) depict processes described in this document, and the responsibilities and actions that shall be performed by process participants or their designees. Any information supplemental to a depicted process will appear after the diagram.

## 4.1 Pre-solicitation



The Initiator is advised to discuss the procurement need with the Procurement and Contract Management (PCM) Lead and IV&V Program Management prior to developing the requirement. The Initiator needs to coordinate the procurement with the GSFC Contracting Officer (CO) / NSSC Grant Officer and the PCM Lead throughout the entire process. Depending on the complexity/size of the

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procurement, the Initiator may receive support from other IV&V Program personnel to perform the actions necessary in accomplishing the procurement.

Additional IV&V Program Management, GSFC Procurement and NASA HQ review/approval may be required for high-profile Procurements.

IV&V personnel shall assemble required Procurement Packages per the instructions in the following sections.

#### **4.1.1 Procurement Package Requirements**

All Procurement Packages, including grants and cooperative agreements, contain the following:

1. Procurement Request (PR): The PR is known as “purchase request” and is the document initiating a procurement of products or services (see IVV 07, *Financial Data Control*). The PR also provides funding and accounting information.
2. Statement of Work (SOW) and/or functional specifications: A description of the needs or requirement. The requirement should be described in terms of what outcomes or outputs the contractor must deliver. Information on preparing work statements is available in the *Guidance for Writing Work Statements* (<http://www.hq.nasa.gov/office/procurement/newreq1.htm>).
3. Market Research: The Federal Acquisition Streamlining Act of 1994 requires that Federal agencies conduct market research to help define the Agency's requirements by determining whether sources of commercial items or services are available to satisfy them. For further information, see “Market Research Analysis Report Template” on [GSFC Procurement Policy web page](#).
4. Independent Government Cost Estimate (IGCE): The Initiator is to develop the IGCE. The IGCE is a tool used to determine if proposed costs are realistic. The Initiator may request assistance from the Program Financial Management (PFM) Group.

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5. Initiator's Acquisition Checklist: GSFC 23-59, *Initiator's Acquisition Checklist*, is a separate form that will be completed for all new contracts (not required for procuring training or ordering through some Government-Wide Acquisition Contracts). This form is completed so that GSFC Codes 210 and 250 can determine what safety and Environmental or export regulations must apply to the new procurement. The electronic version of this form is located on the Goddard Directives Management System (GDMS) web site (<http://gdms.gsfc.nasa.gov/>).

6. Security Requirements: If the procurement will require the contractor to provide or have access to classified information, the Initiator will coordinate with GSFC Protective Services Division to complete an appropriate contract security classification specification (i.e., DD Form 254). See NPR 1600.2, *NASA Classified National Security Information*, for more information. Initiator may request assistance from IV&V Special Security Officer (SSO).

7. Government Property: Identify what government property, if any, is to be provided to the contractor during actual contract performance (i.e., after the contract has been awarded). It will usually be government-furnished property if provided to contractors not performing at NASA IV&V. It will usually be Installation-provided government property if provided to contractors performing at NASA IV&V and the government maintains accountability for the property. If proposing to transfer government-furnished property between contracts, complete a GSFC 20-4, *Transfer/Shipping Request*, located on the GDMS web site (<http://gdms.gsfc.nasa.gov/>).

Government property may include property that the contractor is expected to purchase during contract performance. If it is anticipated that government property must be provided, please coordinate intent very early in the acquisition planning process, since providing such government property may require the review and approval of senior GSFC and NASA HQ management.

8. Contract Type Information: This will apply to procurements for hardware items and some services. GSFC Code 210 will determine the type of contract most appropriate to satisfy the procurement

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without placing an inordinate cost risk burden on both the government and contractor. To satisfy this item, describe the amount of customization and uncertainty involved in producing the hardware item or the uncertainty in the type and magnitude of services involved in providing the services required.

9. Procurement Coordination: NF 1707, *Special Approvals and Affirmations of Requisitions*, must be completed for all contracts over the micro-purchase threshold (\$3,500). NF 1707 is not required for grants and cooperative agreements. This form can be accessed at: <http://procpolicy.gsfc.nasa.gov/procform.htm>.

10. Risk Management Planning: NPR 8000.4, *Risk Management Procedural Requirements*, covers risk management for procurements and contracts not covered by NPR 7120.5, *NASA Space Flight Program and Project Management Requirements*. Working with the Procurement and Contract Management Lead, IV&V Program Management and GSFC CO, the Initiator needs to conduct risk assessment and develop possible risk mitigation strategies early in the acquisition work on the requirement. NPR 8000.4, Appendix C contains good practices for procurement and contract risk management. Due to the sensitive nature of procurement related risks, the Initiator is not required to communicate these risks at the Risk Review Board meetings, as stated in IVV 22, *Risk Management*.

#### **4.1.2 Noncompetitive Procurement Package Requirements**

In addition to those requirements stated above in Section 4.1.1, *Procurement Package Requirements*, noncompetitive Procurement Packages must include the following:

1. Suggested Source (company): The complete name, address, and point of contact for the company that is believed to be the only one that can satisfy the requirement.
2. Justifications for Other Than Full and Open Competition (JOFOC): Generate this document to justify why the proposed company is the only company that satisfies the minimum requirements. The JOFOC must demonstrate this fact, not just state it. Further guidance and a

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template for a JOFOC can be accessed at the following GSFC link:  
<http://procpolicy.gsfc.nasa.gov/ashes/PC97-4.doc>.

#### **4.1.3 Competitive Procurement Package Requirements**

In addition to those requirements stated above in Section 4.1.1, *Procurement Package Requirements*, competitive Procurement Packages must include:

1. Source List: This list should contain the names of companies that are believed to be capable of satisfying the requirement. Working with GSFC Procurement, this list should be obtained through the Request for Information (RFI) process. At least two companies must be listed.
2. Proposal Preparation Instructions: These instructions will describe the information that the proposers must submit with their proposals in order for NASA to perform and complete the evaluation.
3. Evaluation Criteria: This is a narrative that describes how the information that the proposers have submitted will be evaluated.

#### **4.1.4 Change (Additional Work) to an Existing Contract**

For the addition of new work to an existing contract, the assigned Technical Representative shall compile a Procurement Package consisting of the following:

- PR (if additional funds are needed)
- Revised SOW for additional work
- IGCE for additional work
- Technical evaluation

#### **4.1.5 Grant/Cooperative Agreement Continuation Procurement Package**

Upon receipt of a continuation application from the recipient, the assigned Technical Representative shall compile a Procurement Package consisting of the following:

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- PR (if additional funds are needed)
- Technical evaluation/recommendation for continuation to the next budget period and any necessary changes
- Revised budget, if changed from the original budget when the Grant or Cooperative Agreement was awarded

#### **4.1.6 Procurement Package Approval**

Once the Procurement Package is reviewed by the PCM Lead and IV&V Program Management, the Initiator shall submit the Procurement Package for review and approval by GSFC Procurement in accordance with GSFC Code 210 Procurement Policies. Grant and Cooperative Agreement packages shall be submitted to NSSC for processing.

#### **4.2 Solicitation and Award**

Once the Procurement Package is reviewed and approved, GSFC CO will initiate Solicitation and Award process in accordance with GSFC Code 210 Procurement Policies.

Grants and Cooperative Agreements will be awarded by NSSC (see the NSSC Grants page for more information - <https://www.nssc.nasa.gov/grants>).

IV&V Program personnel (e.g., Initiator, Technical Representative, COR, etc.) may be called upon to perform proposal evaluation, selection and/or other duties as necessary. The Initiator and/or the assigned Proposal Evaluation Chairperson shall provide solicitation and award progress to PCM Lead throughout the process.

#### **4.3 Administration**

Once the contract is awarded, GSFC CO and the COR assigned to the contract are responsible for administering the contract in accordance with FAR, NASA FAR Supplement and GSFC Code 210 Procurement Policies. COR shall also follow IVV 08, *Contract Management*, in performing technical and financial management of the contract.

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NSSC Grant Officer and the assigned Technical Representative are responsible for administration of the Grants/Cooperative Agreements. See NSSC Grants page for more information.

#### **4.4 Closeout**

GSFC CO assigned to the contract is responsible for closing out the contract files in accordance with the closeout procedures at FAR 4.804-5 and GSFC Code 210 Procurement Policies. GSFC CO will work with COR and others involved in administering the contract to perform the contract closeout.

NSSC Grant Officer and the assigned Technical Representative are responsible for the Grants/Cooperative Agreements closeout. See NSSC Grants page for more information.

#### **5.0 Metrics**

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

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## 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
Contract (copy)	N	N	COR	Destroy 6 years and 3 months after final payment. (5/1A1a)	ECM/Filing System
Grant/Cooperative Agreement (copy)	N	N	Technical Representative	Destroy 6 years and 3 months after final payment. (5/1A1a)	ECM/Filing System
Procurement Package	Y/N	N	Technical Representative	Destroy 6 years and 3 months after final payment. (5/1A1a)	Filing System

Note: While the Contract and Grant/Cooperative Agreement are records generated by this process, they belong to GSFC Procurement (Code 210) and/or NSSC.

Note: PR's are not IV&V records, but are part of the agency-wide IEM system.



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## Procurement

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### VERSION HISTORY

Version	Description of Change	Rationale for Change	Author	Effective Date
Basic	Initial Release		Donna Ozburn	05/12/1998
A – N	Revision information older than 7-year retention period relocated to Version History Overflow Document		Various	07/24/1998 – 06/27/2008
O	Updated process flow diagrams to align with actual process		Mike Powers	04/23/2010
P	Removed reference to NPG 5600.2 and added document precedence statement		Robyn Budd	06/25/2010
Q	Changed simplified acquisition threshold to \$150,000; corrected links; updated Section 1.0, Purpose; removed Section 4.2, Procurement Implementation; and many clarification changes in Section 4		Raju Raymond	01/12/2011
R	Renamed to “Procurement” from “Purchasing”. Updated Purpose and Scope.		Richard Grigg	10/26/2011
S	Restructured process to incorporate procurement phases and added additional references/guidance.		Raju Raymond	09/28/2012

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### VERSION HISTORY

Version	Description of Change	Rationale for Change	Author	Effective Date
T	Changed "COTR" to "COR", deleted PCM Lead definition (definition has been moved to QM Appendix A), clarified Initiator role in the Pre-solicitation phase, and other minor edits.	Recent changes to FAR and agency guidelines. Also addresses recent internal audit observation with respect to Initiator roles and responsibilities.	Raju Raymond	03/31/2014
U	Update all references to IVV 08. Add link for the <i>Grant and Cooperative Agreement Handbook</i> .	ADR. IVV 08 recently renamed to <i>Contract Management</i> . The Grant and Cooperative Agreement Handbook is not located in NODIS.	Richard Grigg	06/29/2015
V	Clarifies and expands security requirements. Additional clarifications throughout the SLP.	Addresses PAR 2015-P-430. Incorporate CNSI requirements.	Raju Raymond	07/22/2016

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