

 Independent Verification & Validation Program	Waiver Process	IVV 13 Version: B Effective Date: December 2, 2014
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AUTHORITY		DATE
Ken Vorndran (original signature on file)	IMS Representative	12/02/2014
Ken Vorndran (original signature on file)	Process Owner	12/02/2014

REFERENCES	
Document ID/Link	Title
Form 1009	Waiver Request and Approval
ISO 9001:2008	International Organization for Standardization: Quality Management Systems Requirements
IVV QM	NASA IV&V Quality Manual
IVV 16	Control of Records
NPR 1441.1	NASA Records Retention Schedules

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document conflicts with any document in the NASA Online Directives Information System (NODIS), this document shall be superseded by the NODIS document.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 explain the typical life cycle of an IMS Waiver and to define a consistent method for requesting and obtaining approval for waiving part or all of a procedure or requirement. The item being waived will be referred to as a “requirement” for the purposes of this SLP.

2.0 Scope

This SLP applies to any IMS User seeking to waive an IMS requirement with proper justification and approval where deemed allowable under the International Organization for Standardization (ISO) 9001:2008 Standard.

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 Initiator

The Initiator is an IMS User that initiates a request for a waiver against an IMS requirement. The IMS Representative may not serve as the Initiator, but may have his/her designee initiate a waiver against the requirement.

3.2 Reviewer

The Reviewer is an additional party who may be asked to review the waiver request.

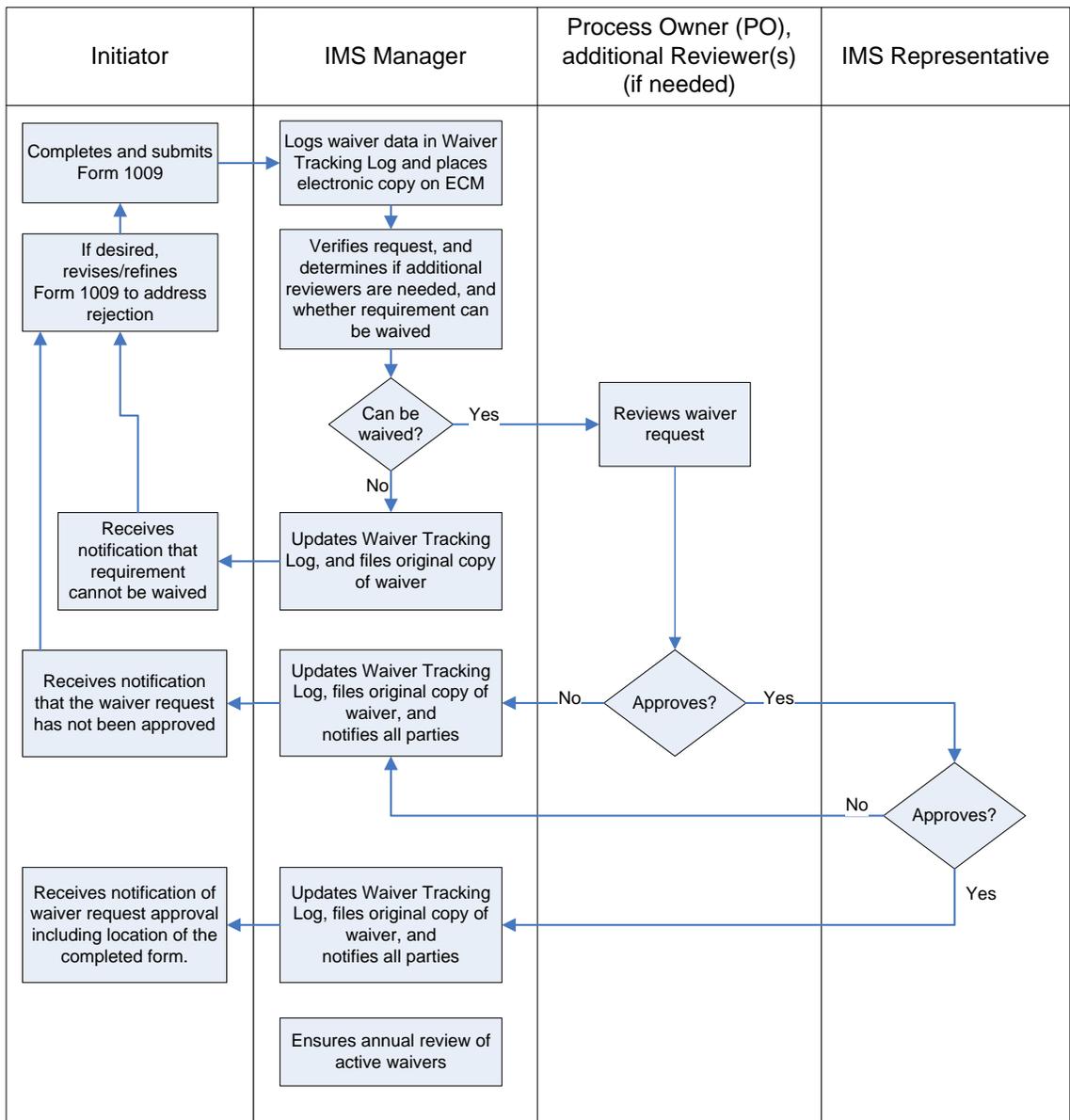
3.3 Acronyms

ECM	Enterprise Content Management
IMS	NASA IV&V Management System
ISO	International Organization for Standardization
NODIS	NASA Online Directives Information System
NPR	NASA Procedural Requirements
QM	Quality Manual
PDF	Portable Document Format
PO	Process Owner
SLP	System Level Procedure

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4.0 Process Flow Diagram

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



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When an IMS User needs to waive a whole or part of a requirement in the IMS, the user (the Initiator) shall complete Form 1009, *Waiver Request and Approval*, and forward to the IMS Manager.

The IMS Manager shall log the waiver information into the Waiver Tracking Log. The IMS Manager shall determine whether the waiver affects any additional requirements. If so, additional Reviewer(s) (e.g. Process Owners (POs) for the appropriate documents) shall be included. The IMS Manager shall forward the request to the PO and any additional Reviewers. The PO and Reviewers shall:

1. Confirm the requirement(s) are affected by the waiver request.
2. Confirm the waiver request is clear.
3. Confirm the waiver is sustainable for the duration of the waiver period.
4. Determine acceptability of the waiver, including any potential negative effects.

The Initiator, PO, and any Reviewers are required to sign and date the waiver request first. The IMS Manager shall then submit the request to the IMS Representative for approval against the ISO 9001:2008 Standard.

The PO, all Reviewers, and the IMS Representative must approve the request in order for the waiver to be accepted. If the request is approved, the IMS Representative shall notify the Initiator, the PO, the IMS Manager, and all Reviewers. The Initiator should consider writing a risk if there will be a potential negative impact caused by not fully meeting the requirement(s).

If the request is not approved, the IMS Manager shall notify all parties, including the Initiator of the decision and the rationale for the decision.

In the event of a conflict, the IMS Representative shall have final approval authority of the waiver request.

The IMS Manager shall update the Waiver Tracking Log, and file the original form.

In the event of a change to the requirement during the waiver period, the requirement will be reviewed by the IMS Representative, and unless discrepancy is found, will be grandfathered in under the current waiver. Notification will be sent to PO and Initiator via email.

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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 NASA Procedural Requirement (NPR) 1441.1, *NASA Records Retention Schedules*.

Record Name	Original	Vital	Responsible Person	Retention Requirement	Location
Waiver Tracking Log	Y	N	IMS Manager	Destroy when 7 yrs old (1/26.5A)	ECM System
Waiver Request and Approval Form 1009	Y	N	IMS Manager	Destroy when 7 yrs old (1/26.5A)	ECM and Filing System



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**IVV 13
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VERSION HISTORY

Version	Description of Change	Rationale for Change	Author	Effective Date
Basic	Initial Release		Robyn Budd	07/13/2010
A	Increased clarity; in Section 4.0 flow and narration. Updated definition of Reviewer. Added Waiver Tracking Log to Records Table. IMS Manager updates Waiver Tracking Log and files all Form 1009's.	Annual Document Review. There are a number of opportunities to increase clarity by being specific about who has responsibility for performing certain actions.	Jeffrey Northey	07/25/2013
B	Clarify various portions: 1) IMS Manager determines which SLP's the waiver affects. 2) Remove "without negative impact" in Purpose. 3) The waiver period (duration) is mandatory. 4) Should the retention period start at the expiration of a waiver? 5) Did not reword process flow to add "review and approve" by Initiator, PO, and Reviewers before forwarding to IMS Representative - on page 4 paragraphs 3 and 4.	PAR Number: 2014-P-416. 1) PO may not have as extensive knowledge of IMS. 2) "without negative impact", conflicts with "writing a risk" in process (section 4). 3) A default waiver period is not needed or practical. 4) Yes. 5) "sign and date" is analogous to "review and approve".	Jeffrey Northey	12/02/2014