

 <b>Independent Verification &amp; Validation Program</b>	<b>Financial Data Control</b>	<b>IVV 07 Version: Q Effective Date: May 17, 2013</b>
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AUTHORITY		DATE
Jeffrey Northey (original signature on file)	IMS Manager	05/17/2013
Kaci Reynolds (original signature on file)	Process Owner	03/28/2013

REFERENCE DOCUMENTS	
Document Number	Document Title
IVV QM	NASA IV&V Quality Manual
IVV 07-1	Work Instruction for Applying Funding
IVV 07-2	Work Instruction for Implementing Financial Baselines
IVV 07-3	Work Instruction for Civil Service Travel
IVV 16	Control of Records
NPR 1441.1	NASA Records Retention Schedules

If any process in this document conflicts with any document in NASA Online Directives Information System (NODIS), this document shall be superseded by the NODIS document. Any reference document external to NODIS 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 receiving, distributing, tracking, and reporting funding and financial activities at the NASA IV&V Program.

## **2.0 Scope**

This SLP applies to funding and financial activities performed at 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 Baseline Form**

The Baseline Form is an electronic document used to establish or update a task's baseline and associated financial data. The form is part of the PFM System.

### **3.2 Contractor Cost Report (CCR)**

The Contractor Cost Report is the agency system where PFM inputs the monthly costs and next month's accrual for each contract that submits monthly Contractor Financial Management Reports (533M).

### **3.3 Monthly Budget Review**

A monthly budget review is a high-level overview of the financial status of all NASA IV&V functional organizations. The monthly budget review is prepared and presented by the NASA IV&V Program Financial Management (PFM) Group.

### **3.4 PFM System**

The PFM System is the online financial tracking tool used by the NASA IV&V Program that is located at <http://pfm.ivv.nasa.gov>.

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### 3.5 Task

A task is a specific work line-item within the NASA IV&V Program.

### 3.6 Acronyms

CCR	Contractor Cost Report
COTR	Contracting Officer Technical Representative
ECM	Enterprise Content Management
G&A	General and Administrative
GSFC	Goddard Space Flight Center
IEM	Integrated Enterprise Management
IMS	NASA IV&V Management System
NODIS	NASA Online Directives Information System
NPR	NASA Procedural Requirements
PFM	Program Financial Management
PR	Purchase Request
QM	NASA IV&V Quality Manual
RA	Resource Analyst
RM	Resource Manager
SLP	System Level Procedure
SWAT	Software Assurance Tools
TL	Task Lead
WBS	Work Breakdown Structure

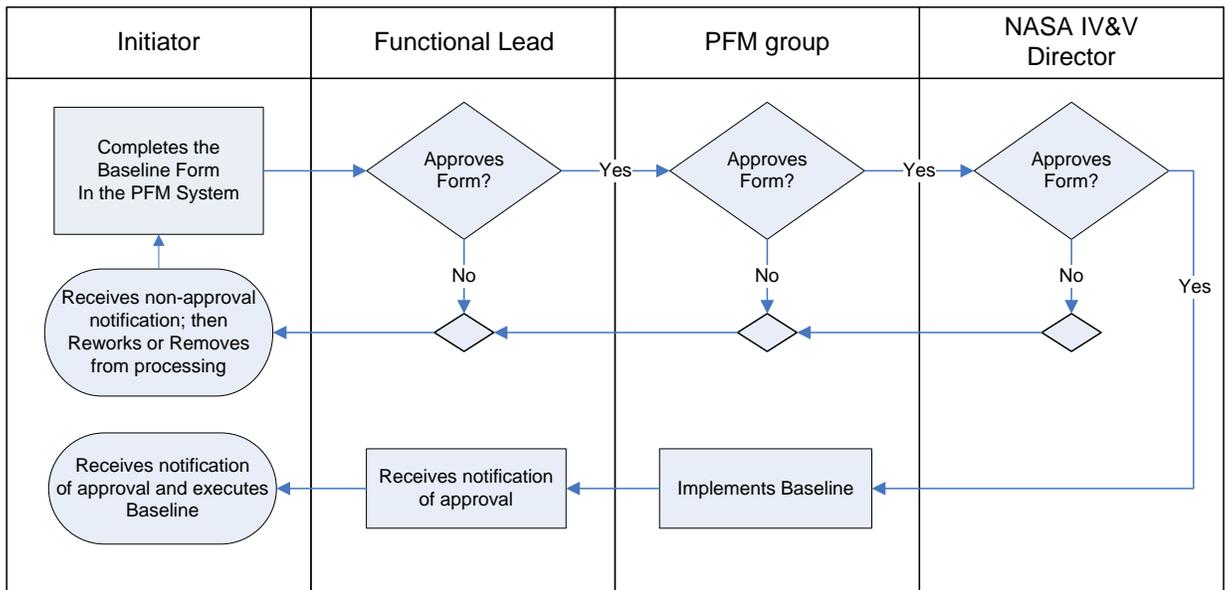
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#### 4.0 Process Flow Diagrams

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

#### 4.1 Baseline

Functional organizations are responsible for submitting Baseline Forms for the tasks they are managing.



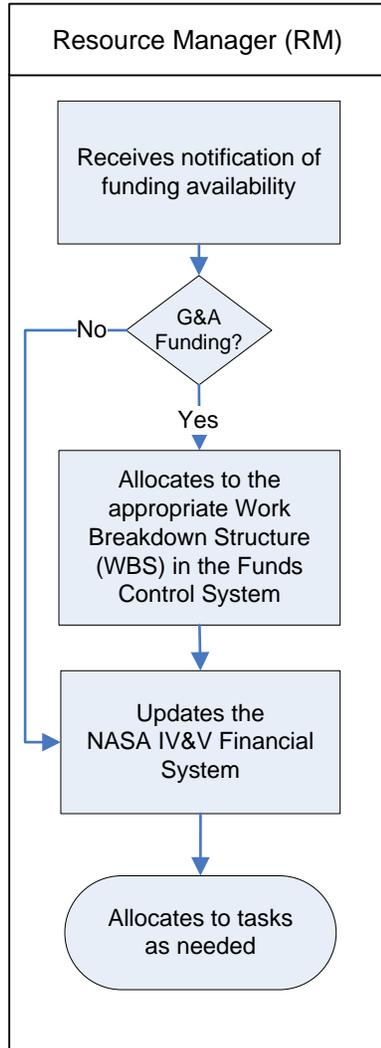
Baseline Forms will be submitted prior to the start of the fiscal year, at task inception, or as needed. This electronic form is housed within the PFM System.

Each office is given high level direction on responsibilities and funding allocations prior to the baseline process. For additional details please see IVV 07-2, *Work Instruction for Implementing Financial Baselines*.

If excess or additional funds are necessary, please contact the NASA IV&V Director and the PFM Group to discuss the rationale for needing additional funds.

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## 4.2 Funds Receipt and Distribution

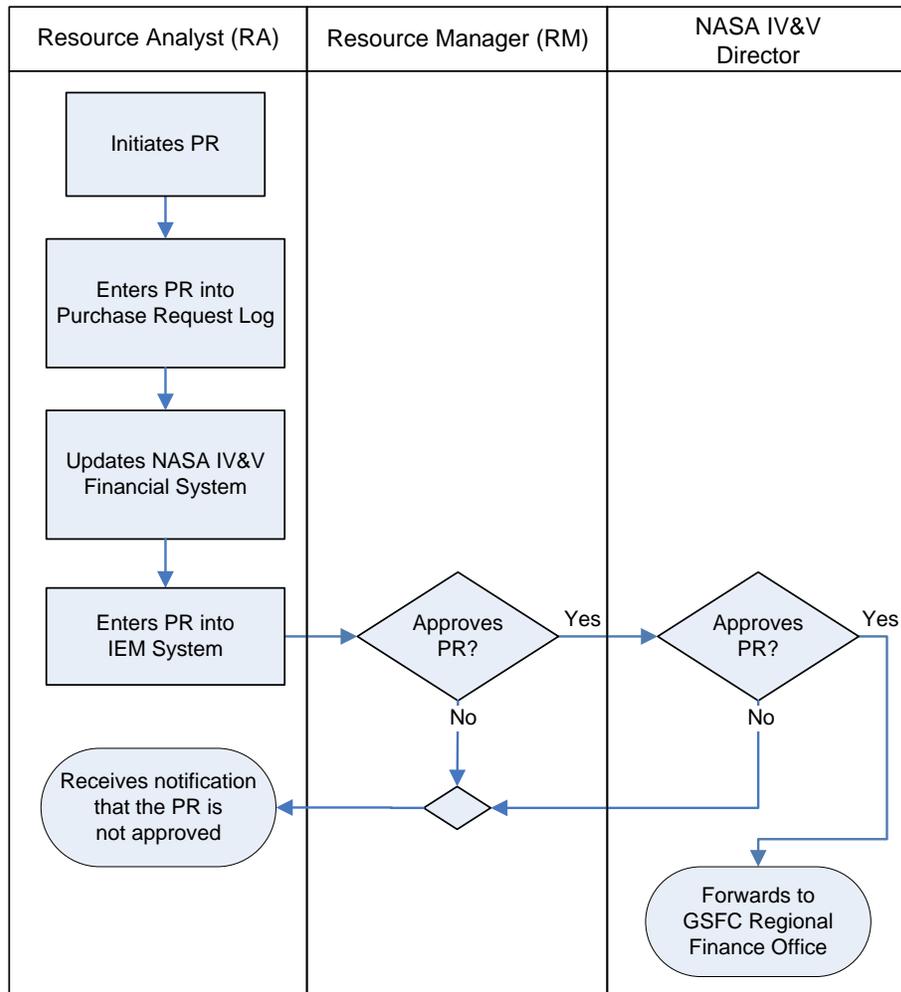


G&A funding is allocated to tasks as described in IVV 07-1, *Work Instruction for Applying Funding*.

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### 4.3 Purchase Request (PR) Distribution

Based on an approved Baseline Form, the RA initiates a PR for the contract/task.



In the event that a Purchase Request (PR) is denied at any point in the approval chain, an email is sent to the RA. The RA can then correct and resubmit, or cancel the PR.

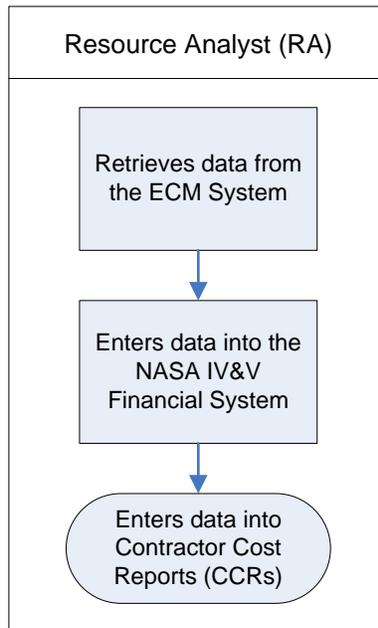
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#### 4.4 Travel Funds

Travel funds are distributed as described in IVV 07-3, *Work Instruction for Civil Service Travel*.

#### 4.5 Funds Tracking and Reporting - Monthly Cost and Accrual

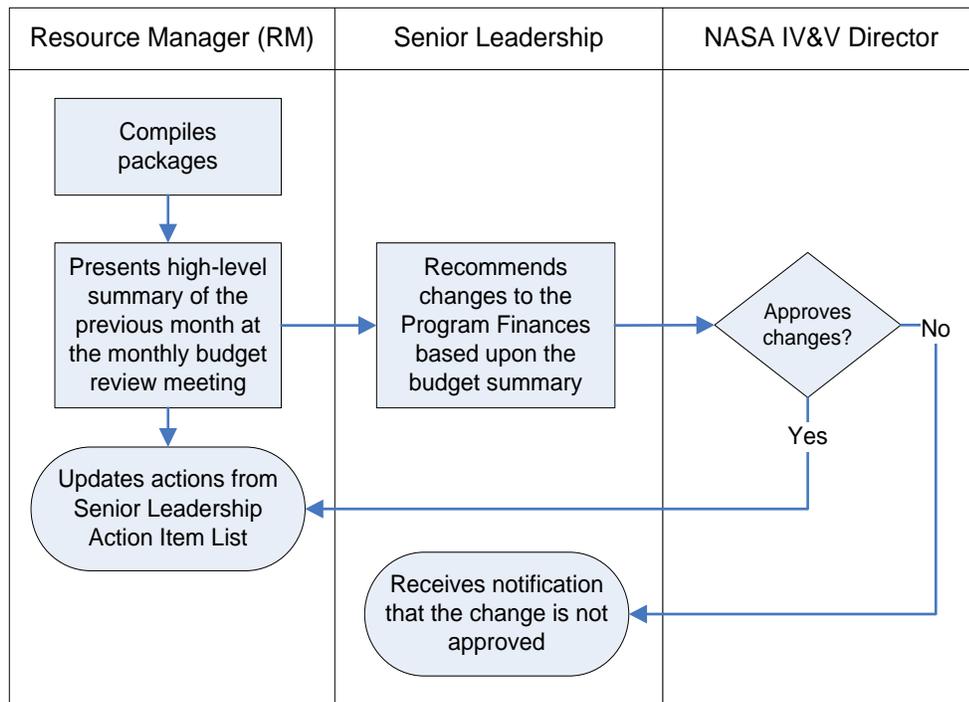
The contract or task's monthly financial data will be submitted by the contractor and verified by the COTR prior to entry in the NASA IV&V Financial System by the RA.



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#### 4.6 Monthly Financial Reporting

The PFM Group will compile and present monthly financial status reports of functional organizations', contracts', and tasks' financial plans, funding received, funding committed, task costs, projected task spending, carryovers, and other financial information. Action items will be documented through Senior Leadership action item tracking. The PFM Lead will present evidence of closed action items at subsequent Senior Leadership meetings.



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

Record Name	Original	Vital	Responsible Person	Retention Requirement	Location
Baseline Forms (FY09 - FY12)	Y	N	PFM Lead	Contact Center Records Manager (1260)	PFM Filing System
Baseline Forms FY13 and on	Y	N	PFM Lead	Contact Center Records Manager (1260)	PFM System
Monthly Financial Budget Review Package	Y	Y	PFM Lead/RM	Contact Center Records Manager (1260)	ECM System
NASA IV&V Financial System	Y	Y	PFM Group	Contact Center Records Manager (1260)	SWAT Server
PR	N	N	RA	Contact Center Records Manager (1260)	IEM System



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### VERSION HISTORY

Version	Description of Change	Rationale for Change	Author	Effective Date
Basic	Initial Release		Donna Ozburn	10/23/2002
A-E	Revision information older than 7-year retention period relocated to Version History Overflow Document		Various	09/07/2003 - 02/03/2006
F	Updates to 4.0, 6.3, 6.4, and 6.5		Mike Powers	11/17/2006
G	Update process flow diagrams to align with Facility Management paradigm		Stephanie Ferguson	08/07/2007
H	Changed "IV&V Facility" to "IV&V Program"		Stephanie Ferguson	02/19/2009
I	Updated to reflect new Program organization		Kaci Reynolds	04/02/2010
J	Change "Procurement" to "Purchase"		Kaci Reynolds	05/26/2010
K	Added reference document precedence statement		Sara Cain	07/29/2010
L	Added Baseline Revision Forms to Section 6.0, <i>Records</i> ; updated text on monthly financial presentations		Robyn Budd	08/31/2010

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Version	Description of Change	Rationale for Change	Author	Effective Date
M	Added Form 1015, Baseline Revision Form, to: Reference Table, sections 3.1 and 4.1		Tara Perdue	06/28/2011
N	Remove reference to out year estimates; replace 'project' with 'task'; remove "Revision" from Baseline Forms; and update the PFM System location		Tara Perdue	07/26/2012
O	Update Scope, add CCR definition, update Section 4.2 flow, add Section 4.4, <i>Travel Funds</i> , and refer to Work Instructions	PAR # 2012-P-368	Tara Perdue	10/01/2012
P	Updates based on automating the baseline process		Tara Perdue	12/20/2012
Q	Align the roles with the QM definition updates	For consistency between PFM SLPs and WIs	Tara Perdue	05/17/2013

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