

 Independent Verification & Validation Program	Contracting Officer Technical Representative (COTR) Procedure	IVV 08 Version: N Effective Date: May 24, 2012
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APPROVAL SIGNATURES		DATE
Natalie Alvaro (original signature on file)	IMS Manager	05/23/2012

VERSION HISTORY			
Version	Description of Change	Author	Effective Date
Basic	Initial Release	Steven Raquè	12/24/2002
A-D	Revision information older than 7-year retention period relocated to Version History Overflow Document	Various	09/18/2003 – 03/08/2005
E	Address new IV&V organization by replacing Senior Lead terminology with Deputy IV&V Services Lead. Eliminate COTR responsibility to keep contract mod and task order copies in section 6.1 since onsite CO and TOMS now fulfill that requirement. Add PM Tool as possible deliverables matrix location in section 6.4, Receipt and Filing of Contract Deliverables. Reword last paragraph in section 6.5, Evaluation of Contract Deliverables, for readability. Add QM reference for role definitions.	Richard Grigg	07/26/2005
F	Add COTR/Alternate COTR Delegation Letter and Deliverables Matrix to Section 3, Definitions & Acronyms. Expand Section 5, Responsibilities. Remove cover letter filing requirement and clarify Deliverables Matrix required fields in Section 6.4, Receipt and Filing of Contract Deliverables. Add CIM reference to section 6.5, Evaluation of Contract Deliverables, for evaluation of research	Richard Grigg	05/22/2006

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	deliverables. Update Section 7.0, Metrics, to conform to IVV 05-2. Update table in Section 8, Records, to meet NPR 1441 requirements. Remove IVV 09-3, add IVV 09-3-5 and NPR 1441 to Reference Documents.		
G	Update definitions of CIM and PM Tool to match definitions in IVV 9-3 and IVV 9-4, respectively. Update Section 6.1, <i>Contract Administration</i> , to include management task order. Update Section 6.4, <i>Receipt and Filing of Contract Deliverables</i> , to correct the list of items in the Deliverable Matrix: Received Date versus Delivered Date.	Richard Grigg	05/11/2007
H	Update process flow diagrams to align with Facility Management paradigm	Stephanie Ferguson	01/25/2008
I	Add Section 4.5, Contract Listing. Add Contracts, Grants and COTRs List to Section 6.0, Records. Replace "Facility" with "Program" where needed.	Richard Grigg	02/03/2009
J	Update Section 4.4, <i>Deliverable Processing</i> , to take into account Product Line process. Also changes in Reference Documents and Sections 3.0, 4.1, and 4.3.	Richard Grigg	09/01/2009
K	Update Section 4.1, <i>Contract Administration</i> : "provided" vs. "signed." Section 6.0 <i>Records</i> , Responsible Person title.	Richard Grigg	03/17/2010
L	Update Reference Documents table to point to IVV 09-7-5; Update process to include "Small Business Contract Requirements"	Raju Raymond	07/02/2010

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VERSION HISTORY			
Version	Description of Change	Author	Effective Date
M	Add Task Monitor PMER responsibilities	Deborah Stiltner	10/26/2011
N	Clarify Deliverables Matrix requirements in Section 4.4, <i>Deliverable Processing</i> . Add Past Performance submission requirements.	Raju Raymond	05/24/2012

REFERENCE DOCUMENTS	
Document Number	Document Title
IVV QM	NASA IV&V Quality Manual
IVV 07	Financial Data Control
IVV 09-4	Project Management
IVV 16	Control of Records
NF 1634	Contracting Officer Technical Representative (COTR)/Alternate COTR Delegation
NPR 1441.1	NASA Records Retention Schedules
http://acquisition.gov/comp/far/index.html	Federal Acquisition Regulation (FAR)
http://www.hq.nasa.gov/office/procurement/regs/nfstoc.htm	NASA FAR Supplement (NFS)

If any process in this document conflicts with any document in 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 performing technical and financial contract management.

If any process described in this document conflicts with any part of the Federal Acquisition Regulation (FAR) or the NASA FAR Supplement (NFS), this document shall be superseded by the FAR or NFS.

2.0 Scope

This SLP is applicable to all COTRs, Alternate COTRs, and Task Monitors at the NASA IV&V Program.

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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 Deliverable

A deliverable is a product identified as deliverable by a contractor or vendor under a task order or contract. It may also be referred to as a formal deliverable.

3.2 Procurement and Contract Management Lead

The Procurement and Contract Management Lead is a civil service employee who leads all procurement and contract management activities for the NASA IV&V Program. The Procurement and Contract Management Lead reports to the Office of the Director.

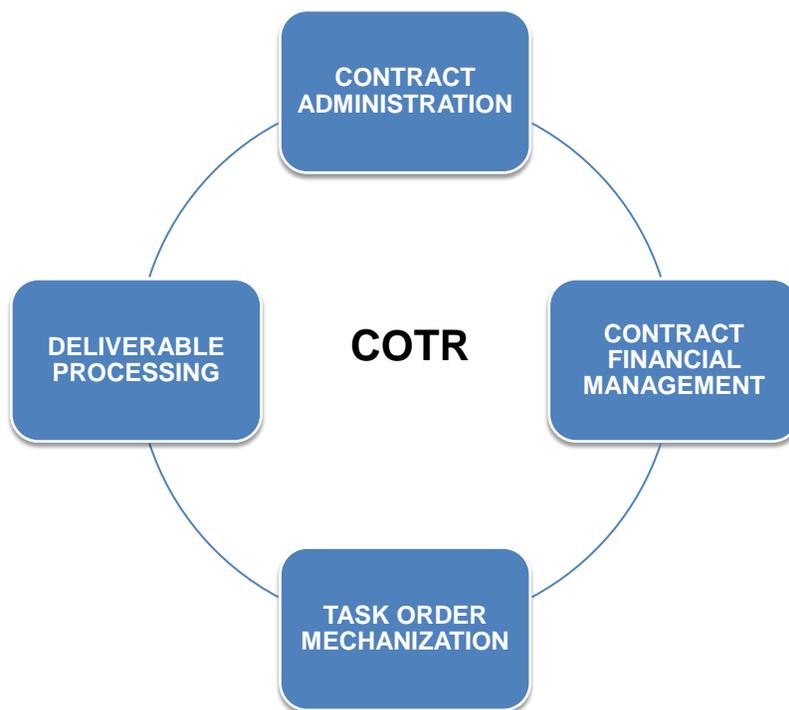
3.3 Acronyms

CIM	Center Initiative Management
CO	Contracting Officer
COTR	Contracting Officer Technical Representative
ECM	Enterprise Content Management
FAR	Federal Acquisition Regulation
IMS	NASA IV&V Management System
NF	NASA Form
NFS	NASA FAR Supplement
NPR	NASA Procedural Requirement
QM	Quality Manual
PEB	Performance Evaluation Board
PFM	Program Financial Management
PM	Project Manager
PMER	Performance Monitor Evaluation Report
SLP	System Level Procedure
TM	Task Monitor
TOMS	Task Order Management System

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4.0 Process Flow Diagram

The following diagrams 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.

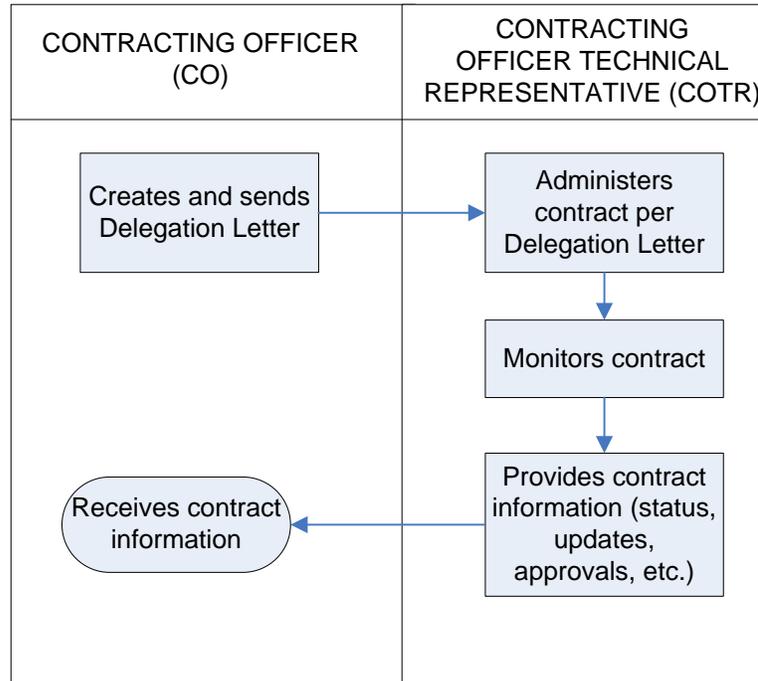


The Alternate COTR will perform COTR duties and responsibilities during short absences of the COTR as indicated by a notification from the COTR or by notification of any type of leave taken by the COTR.

A list of COTRs and their COTR Certification status is available on the Enterprise Content Management (ECM) System in the Procurement and Contract Management folder.

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4.1 Contract Administration



The COTR is ultimately responsible for all items on the COTR/Alternate COTR Delegation Letter (NASA Form [NF] 1634) signed by the Contracting Officer (CO). The COTR shall perform contract administration in accordance with the COTR/Alternate COTR Delegation Letter provided by the CO. Certain responsibilities are further delegated to the Task Monitors (TMs)/Project Managers (PMs) as defined in:

- IVV QM, *NASA IV&V Quality Manual*
- IVV 09-4, *Project Management*
- Contract surveillance plans

In accordance with the signed NF 1634, COTR shall work with the CO to document contractor's past performance information annually.

The COTR shall keep copies of correspondences related to the contract (either electronic or hard copies) in such a fashion that the correspondences can be passed on to any successor or Alternate COTR.

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4.2 Contract Financial Management

The COTR shall monitor contract-level funding and expenses as recorded in the NASA IV&V Financial System (see IVV 07, *Financial Data Control*). The COTR shall make the Program Financial Management (PFM) Group aware of any funding issues or discrepancies, especially those that could affect continuation of services. This also includes notification of delays, rejections, or redeliveries of monthly financial reports such as 533Ms.

For contracts with no 533Ms (e.g., small business, fixed-price, etc.) the COTR shall ensure that financial data is provided to the PFM Group. Required financial data are the monthly cost and cumulative cost. This information will be stored in the ECM System.

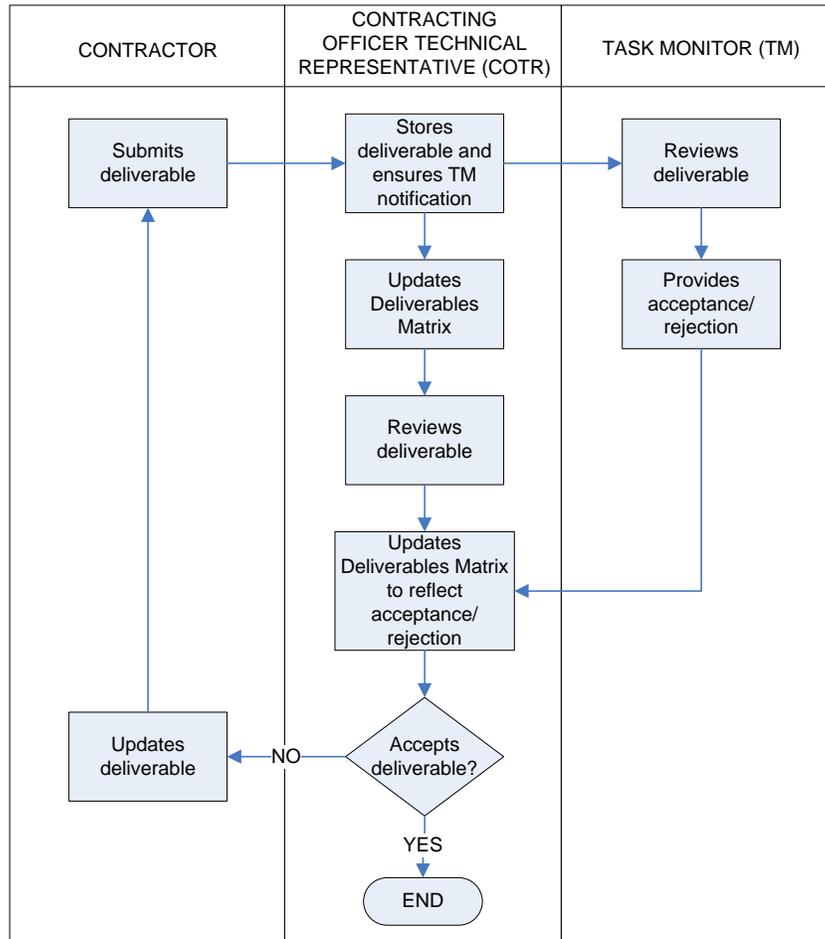
4.3 Task Order Mechanization

The COTR shall facilitate the mechanization of task orders by working with the Task Monitors (TMs), the contractor, and the CO (or designee) to ensure that all required information is included.

Though its use is not mandatory, the Task Order Management System (TOMS) has been widely used for task order mechanization since November 2003. If the COTR's contract is in TOMS, the COTR shall ensure that new task orders and their modifications are entered into TOMS.

The COTR shall review task orders to ensure that the requirements are clear, and that the funding is correct and consistent with NASA IV&V policy. Task order mechanization only applies to contracts incorporating the use of contract task orders.

4.4 Deliverable Processing



In a timely manner, the COTR shall store electronic versions of all contract deliverables in the designated area of the ECM System.

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A Deliverables Matrix shall be maintained for every contract (however, this is optional for grants, and contracts with few or no deliverables, etc.). The COTR shall coordinate with the CO and the Procurement and Contract Management Lead to decide on the applicability of this requirement for their contract. The Deliverables Matrix will include or provide direct access to the following information:

- Title of the deliverable
- Applicable project with which the deliverable is associated
- Applicable TM responsible for evaluation
- Original due date
- Applicable revised due date
- Received date
- Acceptability status
- Acceptance or rejection date
- Applicable redelivery date
- Space for comments

The Deliverables Matrix shall be stored in electronic format in one or more of the following locations:

- The designated area of the ECM System
- The PM Tool (prior to August 1, 2009)
- The CIM Tool (prior to April 30, 2011)

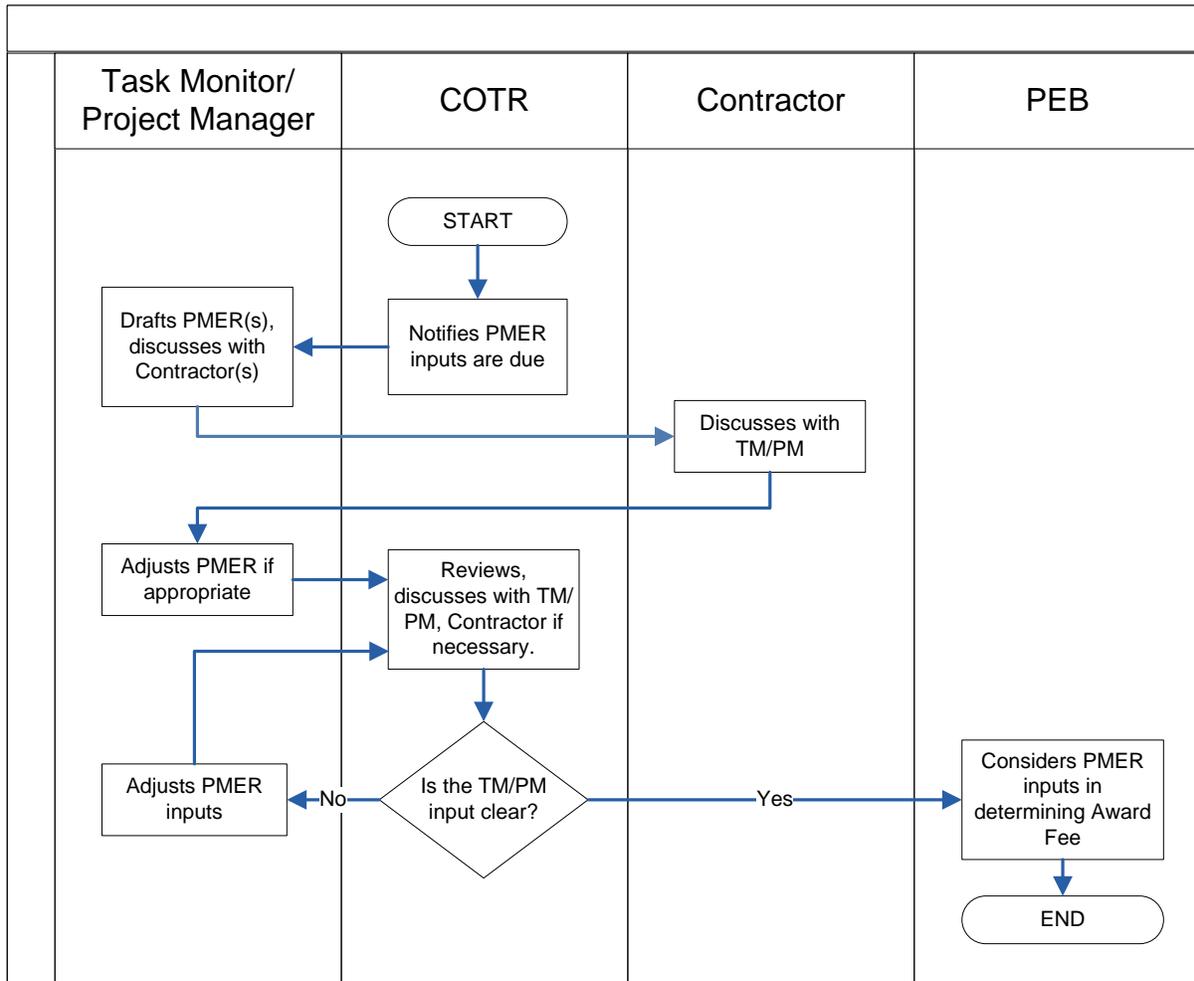
Every formal deliverable/formal product required to be delivered to the NASA IV&V Program by a contract or task order must be evaluated, and the results must be recorded. Deliverables related to task orders and the portions of contract level reports that contain task order-specific sections (e.g., Monthly Progress Report, 533M) for which there is an assigned TM/PM will be evaluated by that TM/PM and reported to the COTR per IVV 09-4, *Project Management*. The COTR is responsible for evaluating all other deliverables, or parts of deliverables, on his/her designated contract. The evaluation of deliverables shall include, but is not limited to, ensuring that deliverables are on time and in the correct format, and that they contain valid content.

The evaluation of a formal deliverable shall be conducted within 10 working days of delivery. If the product is deemed acceptable, it will be so

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noted on the COTR's Deliverables Matrix, as appropriate. If the product is deemed unacceptable, rejections and redelivery will be handled within a timeframe acceptable to the CO, COTR, and TM/PM.

4.5 Providing Performance Evaluation Inputs for Award Fee Determination



The COTR, Task Monitors/Project Managers, and the Performance Evaluation Board (PEB) have important responsibilities in the contractor performance evaluation. These responsibilities may be documented further in the contract Performance Evaluation Plan, if the contract has one. For contracts that require award fee evaluation, the COTR will notify

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Task Monitors (TM) and Project Managers (PM) assigned to his/her contract to prepare and submit Performance Monitor Evaluation Reports (PMER) for the applicable award fee period. The TM/PM will also discuss the content of their PMER inputs with the contractors prior to submitting the PMER inputs to the COTR. The TM/PM is expected to address and document performance issues as they arise, however at a minimum, issues will be documented in the periodic PMER inputs. The COTR will review the PMER inputs for clarity. Once all PMER inputs are collected, the COTR will distribute them to the members of the PEB.

4.6 Contracts, Grants, and COTRs List

After each contract award or modification, the COTR shall verify that his/her contract is included and accurately described in the Contracts, Grants, and COTRs List, paying particular attention to the ending period of performance and subcontractors.

The Procurement and Contract Management Lead will maintain a list of all active contracts and grants in use by the NASA IV&V Program in the Procurement & Contract Management folder on the ECM System.

The Contracts, Grants, and COTRs List will include or provide direct access to the following information:

- Contract name
- Contract acronym
- Contract number
- Contractual vehicle
- Contractor (including subcontractors)
- Contractor acronym
- COTR name
- Alternate COTR name
- Period of performance – start date
- Period of performance – end date
- Status (Active/Closed)
- In TOMS (Yes/No)

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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
Contracts, Grants, and COTRs List	Y	N	Procurement and Contract Management Lead	Destroy or delete when 2 years old or 2 years after the date of the latest entry, whichever is applicable (5/2)	ECM System
COTR/Alternate COTR Delegation (NF 1634) signed by CO for COTR delegation	N	N	COTR	Destroy upon termination or completion (5/1F)	COTR's Files
COTR/Alternate COTR Delegation (NF 1634) signed by CO for Alternate COTR delegation	N	N	Alternative COTR	Destroy upon termination or completion (5/1F)	Alternate COTR's Files
COTR Deliverables Matrix	Y	Y	COTR	Destroy 6 years and 3 months after final payment (5/1A1a)	ECM System, PM Tool, or CIM Tool for Research Contracts
Deliverable Received from Contractor	Y	N	COTR	Destroy 6 years and 3 months after final payment (5/1A1a)	ECM System