

# IVV 06-4: Work Instruction for Making Purchases

## Pending changes and considerations:

- The purchasing environment is very dynamic and we cannot keep up with changing the document every time something changes wrt the Agency's decision(s) on how to process everything. We were hopeful that after the 889 compliance issues were resolved, that we could update this doc and move forward, but the OCIO just unleashed a new purchasing tool that we don't have a firm grip on yet.

Version: E

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Document Owner: Program Financial Management Lead, Kaci Reynolds

Note: The official version of this document is maintained in IV&V's internal IV&V Management System Website (<https://confluence.ivv.nasa.gov:8445/display/IMS>). This document is uncontrolled when printed.

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## 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.

## 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*.

## 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.

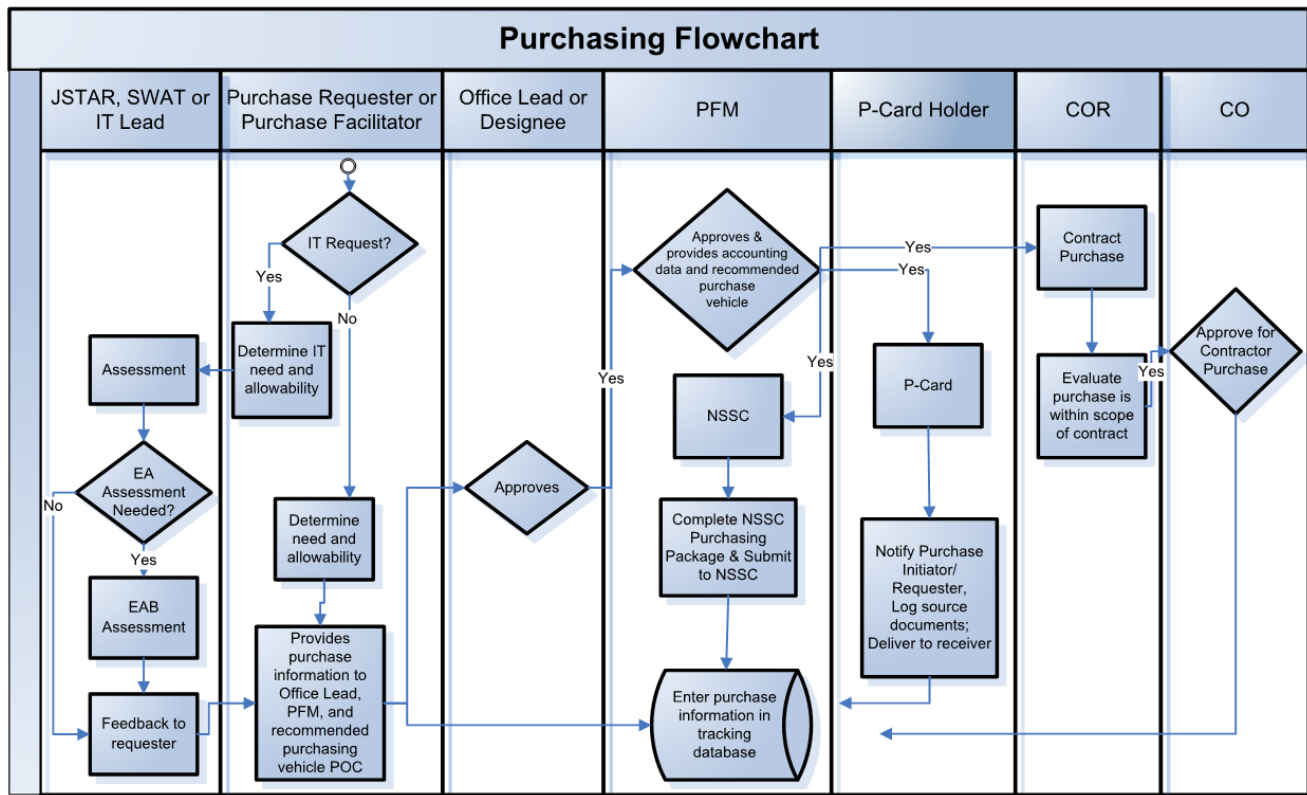
- **EQUIPMENT**
  - EQUIPMENT is a Web-based tool that NASA property holders use to manage their equipment. This tool was known as N-PROP prior to 2018.
- **Guest Services**
  - Guest Services are any services, such as speaking at a NASA IV&V sponsored event, that are not already covered by an existing NASA IV&V Contract vehicle. These events may include: IV&V annual workshop, outreach events, educational events, public affairs, and ceremonial functions.
- **P-card**
  - The government P-card is a purchasing instrument issued through a commercial bank to a Government agency to facilitate small purchases.
- **Purchase Facilitator**
  - Purchase Facilitator initiates the purchase and facilitates communication during the process. May or may not be the Purchase Requester.
- **Purchase Requester (Requester)**
  - Purchase Requester is the individual who has the need for the purchase.

## 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
PLI	Procurement Line Item
PR	Purchase Request
QM	Quality Manual
RA	Resource Analyst
RM	Resource Manager
SCO	Strategic Communications Office
SL	Senior Leadership
SWAT	Software Assurance Tools
WI	Work Instruction

## 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.



IVV 06-4 Purchasing Flowchart -- 05-05-2020.vsd

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

## 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?
- 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 [ivv-dl-purchasing@mail.nasa.gov](mailto:ivv-dl-purchasing@mail.nasa.gov). The requester shall also include the Office Lead or Designee and recommended purchasing vehicle POC. Provide the following information about the purchase:
  - Item description
  - Quantity and Units
  - Justification of why the purchases is needed/required

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 – Enterprise Architecture 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).

- 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
- Market Research in the form of three (3) competitive quotes (if greater than \$10,000) or a sole source justification – as an attachment.
- Recommended contract vehicle (with justification)
- Reference to overarching systems security plan (SSP)

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).

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

PFM will then reply with approval or disapproval. PFM will accomplish the following:

- Ensure that the funds are approved and available for purchase
- Provide accounting data
  - 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
  - NASA Shared Services Center (NSSC)
    - Submit NSSC Purchasing package & submit to NSSC

PFM will determine how to purchase the good/service.

- If through a P-card,

The pcard holder will place the order, distribute purchasing information and attach official record of the order. Additionally, the pcard holder will ensure that all required source documents are retained on ECM at: \DELIVER\ Procurement & Contract Management\ PURCHASE CARD ORDERS.

The pcard holder must receive and accept all 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, and if required the property shall be tagged, tracked in the [EQUIPMENT](#) or GFE systems, and added to the NASA IV&V Program Property List.

Property Management is being completed in accordance with NPR 4200.1.

If through a contract purchase, the COR will evaluate that the purchase is within the scope of the contract. The CO will provide approval for the Purchasing Contractor. The Purchasing contractor is responsible for following their contract purchasing procedure.

## Non-IT Purchase Requests

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

If the purchase is still necessary, The Purchase Facilitator shall submit the following information to the Office Lead or Designee, PFM, and recommended purchasing vehicle POC:

- 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
- Market Research in the form of three (3) competitive quotes (if greater than \$10,000) 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).

The office lead will reply with approval or disapproval. The lead will ensure the following:

- Purchase is covered within the Office-Level plan and financial allocation
- Their office allocation shall pay for the purchase
- Baselines are in place to cover the planned expenditure

PFM will then reply with approval or disapproval. PFM will accomplish the following:

- Ensure that the funds are approved and available for purchase
- Provide accounting data
  - 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
- NASA Shared Services Center (NSSC)
  - Submit NSSC Purchasing package & submit to NSSC

PFM will determine how to purchase the good/service.

- If through a Purchase Order/P-card,

The pcard holder will place the order, distribute purchasing information and attach official record of the order. Additionally, the pcard holder will ensure that all required source documents are retained on ECM at: \DELIVER\ Procurement & Contract Management\ PURCHASE CARD ORDERS.

The pcard holder must receive and accept all 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, and if required the property shall be tagged, tracked in the [EQUIPMENT](#) or GFE systems, and added to the NASA IV&V Program Property List.

If through a contract purchase, the COR will evaluate that the purchase is within the scope of the contract. The CO will provide approval for the Purchasing Contractor. The Purchasing Contractor is responsible for following their contract purchasing procedure.

## Guest Service Requests

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).

If the guest service is still necessary, The Purchase Facilitator shall submit the following information to the Office Lead or Designee, PFM, recommended purchasing vehicle POC and CO/COR:

- Service Description
- Service Cost
- Suggested vendor
- Market Research in the form of three (3) competitive quotes (if greater than \$10,000) 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).

The office lead will reply with approval or disapproval. The lead will ensure the following:

- Purchase is covered within the Office-Level plan and financial allocation
- Their office allocation shall pay for the purchase
- Baselines are in place to cover the planned expenditure

PFM will then reply with approval or disapproval. PFM will 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

PFM and CO will determine how to purchase the service.

- If through a Purchase Order/P-card,

The pcard holder will place the order, distribute purchasing information and attach official record of the order. Additionally, the pcard holder will ensure that all required source documents are retained on ECM at: \DELIVER\ Procurement & Contract Management\ PURCHASE CARD ORDERS.

If through a contract purchase, the COR will evaluate that the purchase is within the scope of the contract. The CO will provide approval for the Purchasing Contractor. The Purchasing contractor is responsible for following their contract purchasing procedure.

## Metrics

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

## 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	Essential	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 when no longer needed. (1/78C)	ECM

# References

REFERENCES	
Document ID/Link	Title
<a href="#">IVV QM</a>	<a href="#">NASA IV&amp;V Quality Manual</a>
<a href="#">IVV 06</a>	<a href="#">Procurement</a>
<a href="#">IVV 10</a>	<a href="#">Software and Hardware Configuration Management</a>
<a href="#">IVV 11</a>	<a href="#">Enterprise Architecture (IT Governance)</a>
<a href="#">IVV 16</a>	<a href="#">Control of Records</a>
<a href="#">NPR 1441.1</a>	<a href="#">NASA Records Management Program Requirements</a>
<a href="#">ECM.../DELIVER/Program Financial Management/ 08. Working Procedures/ 03. Purchasing/</a>	<a href="#">Goddard IT Purchase Request Tool (information)</a>
<a href="#">ECM.../DELIVER/Program Financial Management/ 08. Working Procedures/ 03. Purchasing/</a>	<a href="#">Internal Information Regarding Purchase Card (P-Card) Transactions</a>
<a href="http://www.sam.gov">http://www.sam.gov</a>	<a href="#">System For Award Management</a>
<a href="https://equipment.nasa.gov">https://equipment.nasa.gov</a>	<a href="#">EQUIPMENT</a> (was N-PROP prior to 2018)

If any procedure, method, or step 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 Document Owner for current versioning.

## Version History

VERSION HISTORY				
Version	Description of Change	Rationale for Change	Author	Effective Date
Basic	Initial Release		Kaci Reynolds	2/12 /2015
A	Updated scope	Clarifying differences between making purchases and establishing a contract vehicle.	Raju Raymond	4/16 /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	5/29 /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
D	Change document to update threshold of \$3,000 to \$10,000 for providing market research or a sole source justification. Added a pointer to the Goddard IT Purchase Request Tool on ECM.  Replace N-PROP with EQUIPMENT.	Pcard holders micro purchase threshold was raised to \$10k which means that purchases can be made without following competition requirements and small business set asides under this amount as long as price is reasonable.  CO requested a pointer to the Goddard IT Purchase Request Tool information.  The NASA EQUIPMENT system has replaced the N-PROP system.	Kim Langford	3/23 /2018

E	Update flow chart and applicable process	CO is no longer pcard holders - updated to reflect that. With that, all purchase requests do not go through the CO anymore.  Flow-chart was updated to reflect details in process changes.	Kim Langford	5/05 /2020
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