IVV 08: Contract Management

Version: W

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Document Owner: Contracting Officer's Representative, Alex Fansler

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.

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with any part of the Federal Acquisition Regulation (FAR) or the NASA FAR Supplement (NFS), this document shall be superseded by the FAR or NFS.

Scope

This SLP applies to personnel performing technical and financial contract management activities at the NASA IV&V Program (e.g., Contracting Officer Representative CORs, Alternate CORs, and Task Monitors).

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.

Deliverable

- A product identified as deliverable under a contract or task order. It may also be referred to as a formal deliverable (e.g., 533Ms). Other products not specified in contracts or task orders, may be known as "informal" deliverables (e.g., some Technical Reports, Risks, and Technical Issue Memorandum [TIMs]).

Task Order

- A product identified as task orders under a master contract that defines a specific project's scope, cost, and schedule (e.g., a project plan or IPEP).

Acronyms

ACOR	Alternate COR
CIM	Center Initiative Management
CLP	Continuous Learning Points
CNSI	Classified National Security Information
CO	Contracting Officer
COR	Contracting Officer Representative
CPARS	Contractor Performance Assessment Reporting System
ECM	Enterprise Content Management
FAR	Federal Acquisition Regulation
IMS	NASA IV&V Management System
NF	NASA Form
NFS	NASA FAR Supplement
NMIS	NASA Mishap Information System
NODIS	NASA Online Directives Information System
NPR	NASA Procedural Requirements
QM	Quality Manual
PCM	Procurement and Contract Management
PEB	Performance Evaluation Board
PFM	Program Financial Management
PM	Project Manager
PMER	Performance Monitor Evaluation Report
SLP	System Level Procedure
SSO	Special Security Officer
TM	Task Monitor
TOMS	Task Order Management System

Process Flow Diagram

An overall process flow diagram does not apply to this SLP.

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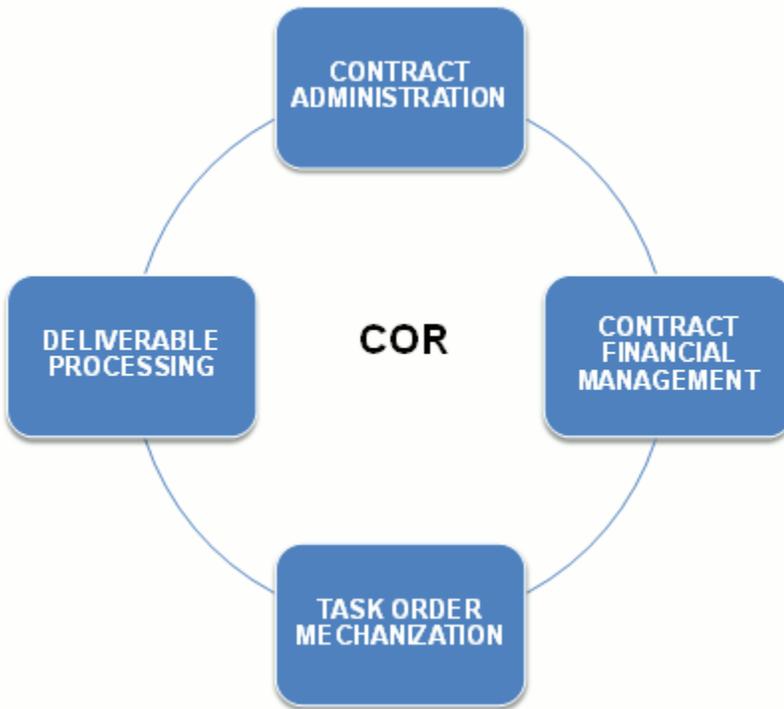
The Alternate COR (ACOR) will perform COR duties and responsibilities during short absences of the COR as indicated by a notification from the COR or by notification of any type of leave taken by the COR.

A list of employee COR Certification status is available through the Office of Procurement's site, https://code200-external.gsfc.nasa.gov/210/content/cor-certification. This site is continually updated upon completion of the COR Training class.

For more information on Procurement Operations, please visit the Office of Procurement's site: https://code200-external.gsfc.nasa.gov/210/h

CORs and ACORs are responsible for maintaining their certification and earning a minimum amount of continuous learning points (CLPs). CLPs are to be recorded in Federal Acquisition Institute (FAI) Defense Acquisition University (DAU) at https://id.dau.edu/. For more information on CLP requirements, please visit https://www.fai.gov/training/continuous-learning-opportunities

Contract Administration
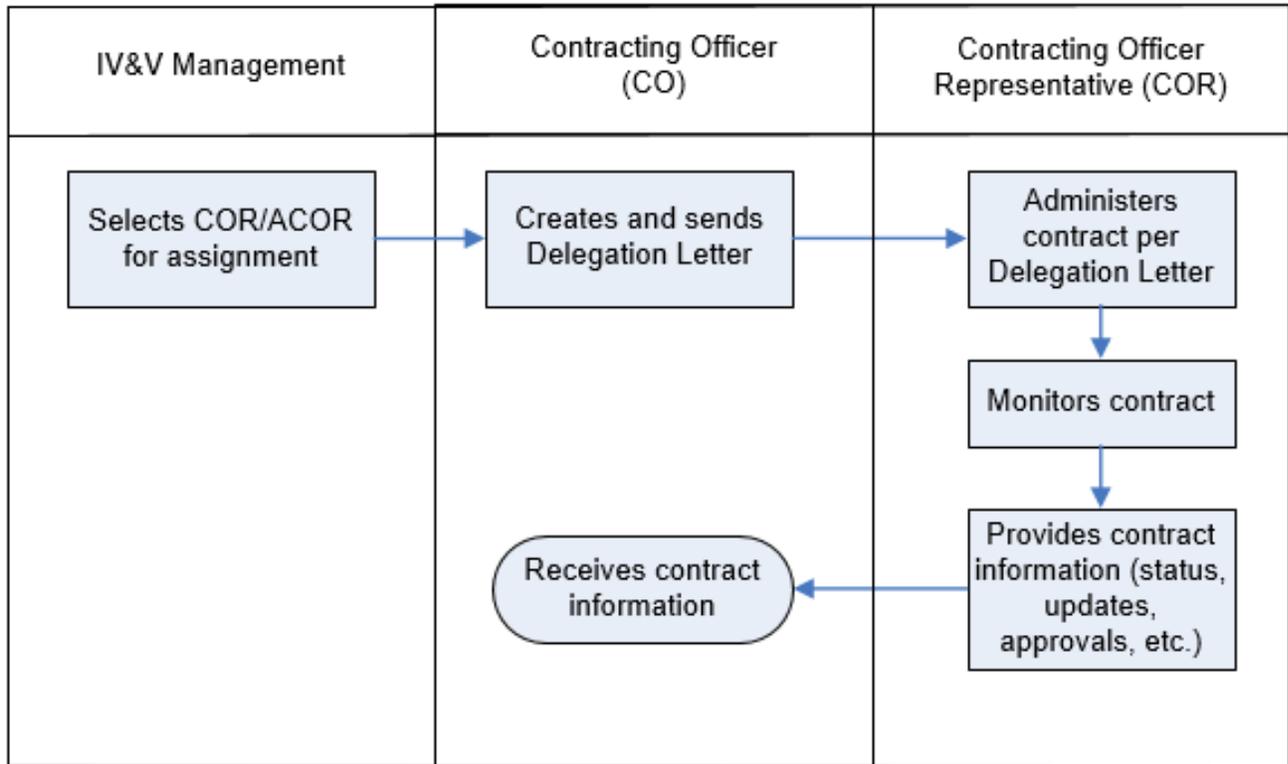
IVV 08 Contract Admin -- 08-10-20217.vsd

The COR is ultimately responsible for all items on the COR/Alternate COR Delegation Letter (NASA Form [NF] 1634) signed by both the Contracting Officer (CO) and COR. The COR shall perform contract administration in accordance with the COR/Alternate COR Delegation Letter. The COR is also responsible for maintaining all contract files/records. 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

The COR is responsible for certain aspects of the In-Processing, Change-Processing, and Out-Processing procedures as specified in IVV 03, *Gainin g Physical and Electronic Access to NASA IV&V Resources*, (e.g., sponsoring new hires, submitting the contract & company information to GSFC Security Office, ensuring contractor submits all In/Change/Out-Processing information in a timely manner, etc.). The COR is also responsible for some aspects of the security clearance processing for contractor personnel as specified in IVV 03-1. In collaboration with applicable PMs, IV&V Special Security Officer (SSO) and GSFC Protective Services Division, COR will ensure contract DD Form 254, if the contract has one, is reviewed and updated as necessary. See NPR 1600.2, *NASA Classified National Security Information*, for more information.

In accordance with FAR 42.15 and NFS 1842.15, NASA documents contractor's past performance using the Contractor Performance Assessment Reporting System (CPARS). The CPARS is located at https://www.cpars.gov/. When requested by the CO, the COR shall provide inputs to the contractor's past performance in accordance with FAR 42.15 and NFS 1842.15. The Agency's template for CPARS Input can be found at Contractor Performance Assessment Reporting System (CPARS) Input.docx

The COR 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 COR.

Contract Financial Management

The COR shall monitor contract-level funding and expenses as recorded in the NASA IV&V Financial System (see IVV 07, *Financial Data Control*). The COR 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, 533Qs and/or other financial reports identified as deliverables under the contract.

For contracts with no 533Ms (e.g., small business, fixed-price, etc.) the COR 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.

Task Order Mechanization

Task order mechanization only applies to contracts incorporating the use of task orders or operating plan. The COR shall facilitate the mechanization of task orders/operating plan by working with the TMs/PMs, the contractor, and the CO (or designee) to ensure that all required information is included, the requirements are clear, and that the funding is correct and consistent. The COR shall ensure the contactor's response (task plan/operating plan) is reviewed by appropriate TMs/PMs and office lead, PFM, and ACOR prior to approval by the CO (or designee).

If the COR's contract is in Task Order Management System (TOMS), the COR shall ensure that task orders and their modifications are entered into TOMS.

Deliverable Processing

**IVV 08 Deliverables Processing -- 03-08-2017.vsd**
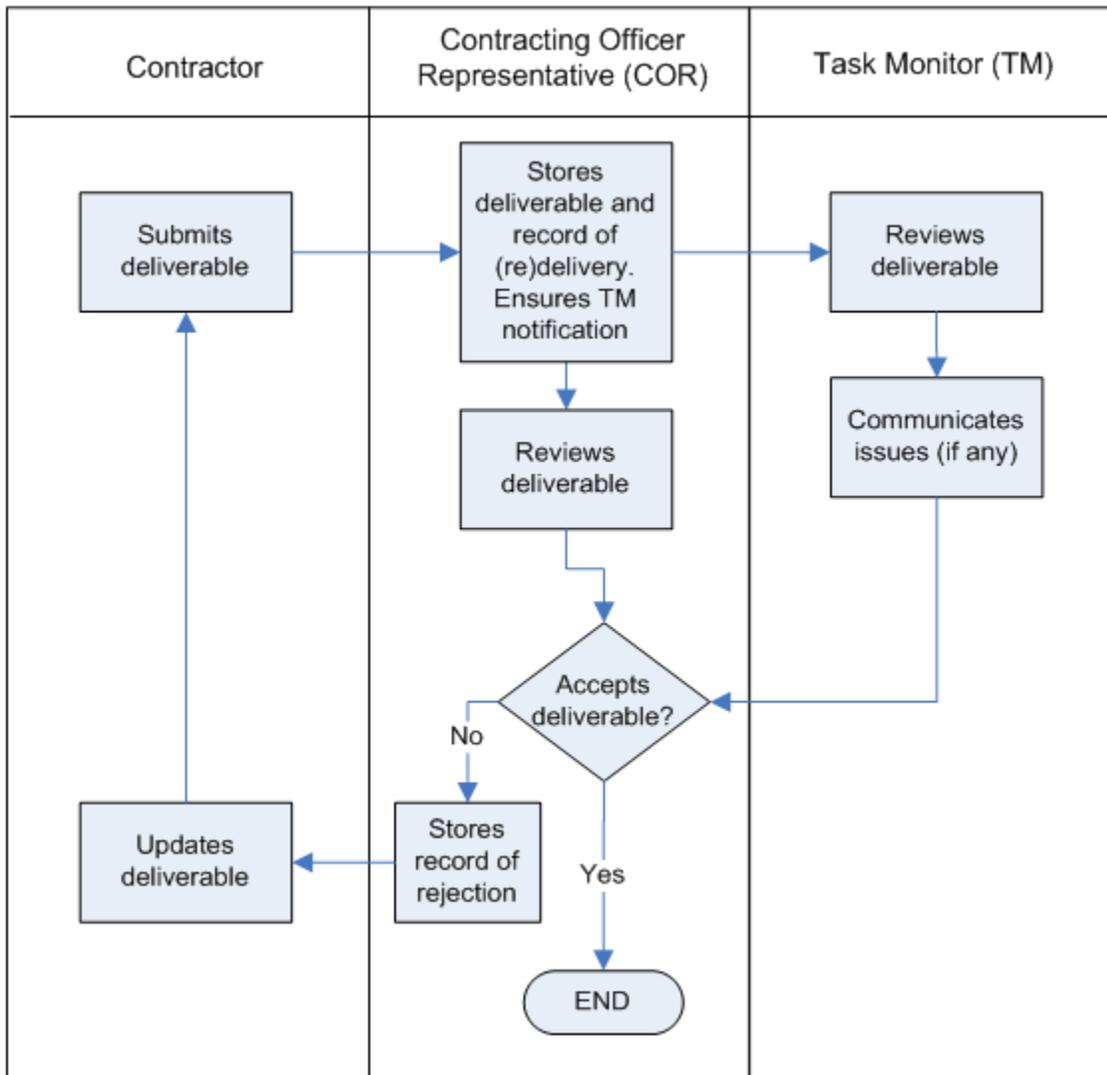
In a timely manner, the COR shall store electronic versions of formal contract deliverables in the designated area of the ECM System. A record of delivery or redelivery (e.g., delivery email, deliverables matrix) shall be stored along with the deliverable in the ECM System.

For those deliverables that are submitted directly to agency-wide systems (e.g., NMIS), the COR shall store a record of delivery or redelivery in the ECM System; there is no need to store actual deliverables to ECM.

Every formal deliverable/formal product required to be delivered to the NASA IV&V Program by a contract or task order must be evaluated. Deliverables related to task orders and the portions of contract level reports that contain task order or project-specific sections (e.g., Monthly Progress Report) for which there is an assigned TM/PM, will be evaluated by that TM/PM; and the TM/PM will communicate issues to the COR (see IVV 09-4, *Project Management*). The COR is responsible for evaluating all other deliverables, or parts of deliverables, on their 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 unacceptable, rejections and redelivery will be handled within a timeframe acceptable to the CO, COR, and TM/PM. The COR shall store a record of rejection (e.g., email, deliverables matrix) along with the rejected deliverable in the designated area of the ECM System.

Providing Performance Evaluation Inputs for Award Fee Determination
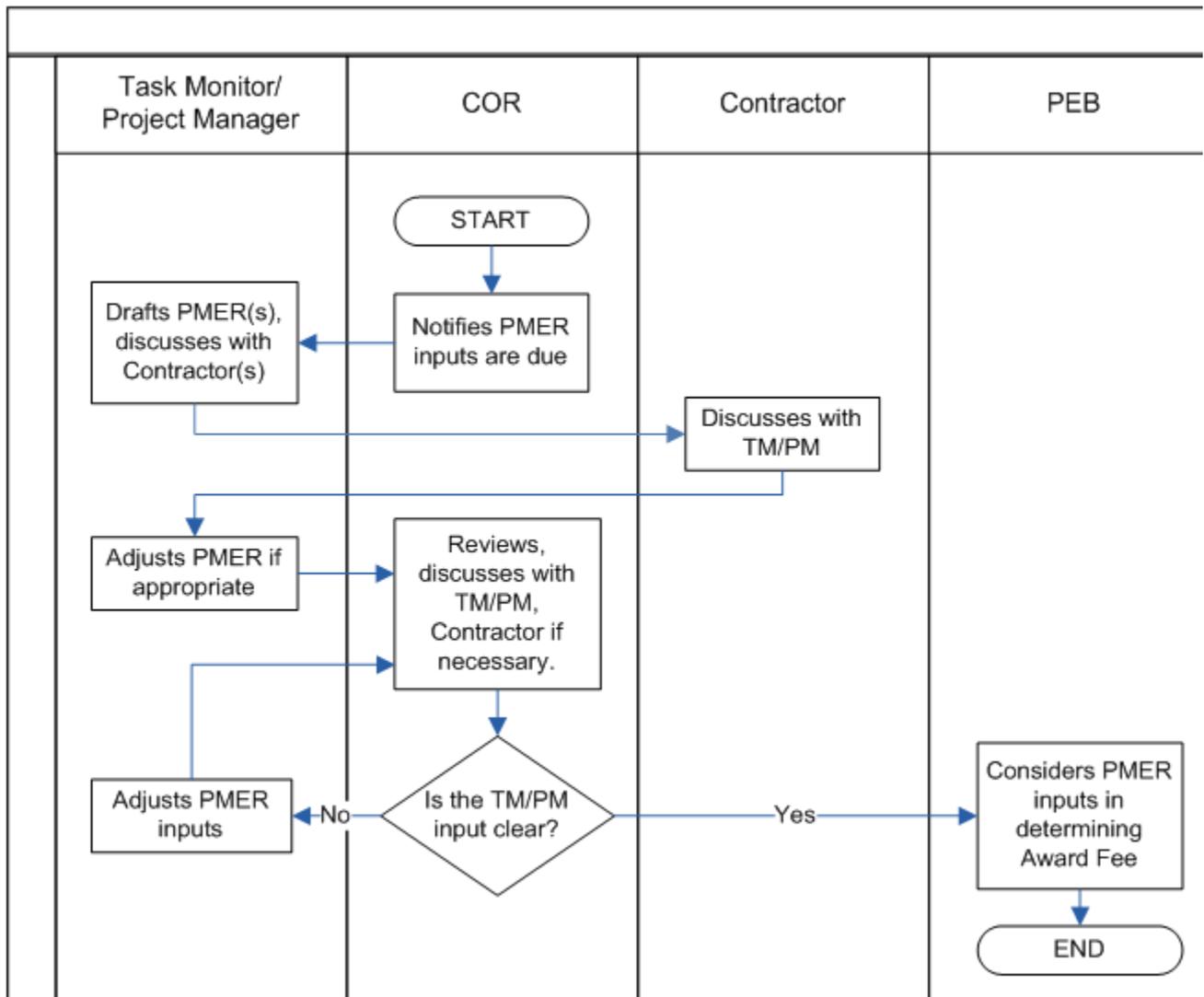
IVV 08 Award Fee Determination -- 03-08-2017.vsd

The COR, TMs/PMs, and the Performance Evaluation Board (PEB) have important responsibilities in the contractor performance evaluation. PEBs are specific to Cost Plus Award Fee Contracts and are used to make decisions on contractor performance in order to determine the fee the contractor will receive. 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 COR will notify TMs and PMs assigned to their 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 COR. 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 COR will review the PMER inputs for clarity. Once all PMER inputs are collected, the COR will distribute them to the members of the PEB.

Contracts, Grants, and CORs List

After each contract award or modification, the COR shall verify that their contract is included and accurately described in the Contracts, Grants, and CORs List, paying particular attention to the ending period of performance and subcontractors.

The Procurement and Contract Management (PCM) Representative(s) 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.

For procurement and contract lessons learned and best practices, please visit https://confluence.ivv.nasa.gov:8445/display/PCM /PCM+Lessons+Learned+and+Knowledge+Resources.

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 Requirements (NPR) 1441.1, *NASA Records Management Program Requirements*.

Record Name	Original	Essential	Responsible Person	Retention Requirement	Location
Contracts, Grants, and CORs List	Y	N	PCM Representative (s)	Destroy when business use ceases. (05 /001.0.G)	ECM System
COR/Alternate COR Delegation (NF 1634) signed by CO for COR delegation	N	N	COR	Destroy when no longer required for business use. (05/001.0.F)	COR's Files
COR/Alternate COR Delegation (NF 1634) signed by CO for Alternate COR delegation	N	N	Alternative COR	Destroy when no longer required for business use. (05/001.0.F)	Alternate COR's Files
Deliverable Received from Contractor	Y	N	COR	Destroy 6 years after final payment or cancellation. (05/001.0.A)	ECM System
Record of delivery, redelivery, or rejection; COR Deliverables Matrix	Y	N	COR	Destroy 6 years after final payment or cancellation. (05/001.0.A)	ECM System

References

REFERENCES	
Document ID/Link	**Title**
IVV QM	NASA IV&V Quality Manual
IVV 03	Gaining Physical and Electronic Access to NASA IV&V Resources
IVV 03-1	Security Clearances
IVV 07	Financial Data Control
IVV 09-4	Project Management
IVV 16	Control of Records

NF 1634	Contracting Officer's Representative (COR) / Alternate COR Delegation
NPR 1441.1	NASA Records Management Program Requirements
NPR 1600.2	NASA Classified National Security Information (CNSI)
https://acquisition.gov/far/index.html	Federal Acquisition Regulation (FAR)
Contractor Performance Assessment Reporting System (CPARS) Input.docx	
https://code200-external.gsfc.nasa.gov/210/	
https://nasa.sharepoint.com/sites/GSFC-ProcPolicy	
https://confluence.ivv.nasa.gov:8445/x/AIGgAQ	

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		Steven Raqué	12/24/2002
A-I	Older revision information may be located in the Version History Overflow Document		Various	09/18/2003 – 2/3/2009
J	Update Section 4.4, Deliverable Processing, to take into account Product Line process. Also changes in Reference Documents and Sections 3.0, 4.1, and 4.3.		Richard Grigg	9/1/2009
K	Update Section 4.1, Contract Administration: "provided" vs. "signed." Section 6.0 Records, Responsible Person title.		Richard Grigg	3/17/2010
L	Update Reference Documents table to point to IVV 09-7-5; Update process to include "Small Business Contract Requirements"		Raju Raymond	7/2/2010
M	Add Task Monitor PMER responsibilities		Deborah Stiltner	10/26/2011
N	Clarify Deliverables Matrix requirements in Section 4.4, Deliverable Processing. Add Past Performance submission requirements.		Raju Raymond	5/24/2012
O	Updated Section 4.1 to add CPARS information. Changed "COTR" to "COR" based on FAR updates and deleted PCM Lead definition (definition has been moved to QM Appendix A).	CAR 2013-C-393. Reflects the implementation of the government-wide CPARS to document past performance data and also clarifies responsibilities of CO and COR with respect to the collection of past performance information. This revision also incorporates the recent changes to FAR and agency guidelines.	Raju Raymond	3/31/2014
P	Added additional responsibilities with respect to In-Processing, Change-Processing, and Out-Processing procedures (IVV 03).	Added additional responsibilities to reflect the new requirements in IVV 03 (PIV Sponsorship).	Raju Raymond	5/28/2014
Q	1) Clarified task order/operating plan review and approval process. 2) Renamed title to Contract Management.	1) Ensuring all relevant stakeholders are involved in the task order /operating plan changes review and approval process. 2) SLP is applicable to multiple roles, not just COR's.	Raju Raymond	6/19/2015

R	Expands contract administration associated with security requirements and revises deliverable processing requirements.	Institutionalizing administration of CNSI requirements: PAR 2015-P-430; and Streamlining the deliverable tracking process: PAR 2015-P-445.	Raju Raymond	7/15 /2016
S	Changes review of DD Form 254 by COR from annually to as necessary.	PAR 2017-P-492. GSFC PSC reviews DD 254's annually. The COR should review the DD 254 whenever their contract changes (e.g., scope of work, particular new task orders, etc.); those changes may not coincide with an annual timeframe.	Lisa Downs	3/01 /2018
T	SCIF Custodian term update	Clarification of position title	Jeff Northey	4/15 /2019
U	Directly linked the NSSC COR list rather than maintaining our own list on ECM.	The COR list will be more accurate, and the IV&V team will no longer have to maintain a local spreadsheet.	Lisa Downs	4/02 /2020
V	Removed PCM Lead references	PCM Lead is no longer a position/role and the work has been distributed	Alex Ayers	08/11 /2021
W	Process Flow Section: remove Code 210 references & Ref to FAITAS needs to be updated to DAU and associated link. COR and ACOR need to maintain their own files/records (ECM is recommended). SCIF Custodian updated to SSO. Added Lessons Learned/Best Practices link.	Links were broken. Website updates from FAITAS to FAI DUA. SCIF Custodian is no longer a role at IV&V.	Alex Fansler	06/30 /2023