

 <b>Independent Verification &amp; Validation Facility</b>	<b>Project Management</b>	<b>IVV 09-4 Revision: Q Effective Date: April 2004</b>
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<b>APPROVAL SIGNATURES</b>		<b>DATE</b>
Gregory Blaney (original signature on file)	QMS Management Representative	04/20/2004

<b>REVISION HISTORY</b>			
Rev No.	Description of Change	Author	Effective Date
Basic	Initial Release	Greg Blaney IT/387	01/30/98
A	Numerous changes in content throughout entire document	Greg Blaney IT/387	04/07/98
B	Changed document format and added sections 6.3.5 & 6.3.6	Greg Blaney IT/387	05/06/98
C	Added new terms in Section 3.0 Definitions. Added two new sections called "Inspection and Test of Product" as section 6.5.1.3 and "Inspection and Test Status" as section 6.5.1.4. The "Control of Nonconforming Product" section changed from 6.5.1.3 to 6.5.1.5; and Added references to SLPs IVV 09-1, IVV 09-2, and IVV 09-3. Added notes in sections 6.3, 6.4, and 6.5.2 referring to the OSMA SLP IVV 09-3 when areas of this SLP did not apply.	Greg Blaney IT/387	07/24/98
D	Quality Record - format changes	Greg Blaney IT/387	08/26/98
E	Section 6.2 – Removed electronic file req. Sections 6.5.1.3 & 6.5.1.4 – Added reference to the 5-day grace period and added "Deliverable Acceptability Status" email req. Section 6.5.2 – Added "Monthly Financial Assessment" email req. Section 8 – Added both records mentioned above.	Greg Blaney IT/387	09/11/98
<b>REVISION HISTORY continued on next page</b>			

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F	Added IVV 01 to Referenced Docs. Sections 6.3.4, 6.4.1, 6.5.1.2, 6.5.1.4, and 8.0 are modified as follows: added a Formal Agreement checklist, a new section, some references, and changed the Concurrence Sheet responsibility.	Greg Blaney IT/387	01/20/99
G	Added definition for Senior Staff (section 3.4), and modified section 6.5.1.4 to include a Senior Staff review process for high level documents.	Greg Blaney IT/387	04/14/99
H	References to Ames Quality Manual replaced with references to IV&V Facility Quality Manual and Added Section 3.11	Greg Blaney IT/387	09/10/99
I	Format and Number changes; Delete Reference to Ames Research Center	Griggs	12/06/00
J	Significant re-write to accommodate current PM process based upon transition to GSFC	Greg Blaney	04/03/01
K	Clarify requirement for Project Managers to maintain copies of task orders.	John Gatto	05/15/02
L	Remove COTR requirements and include instructions for Mission Tracking Matrix.	John Gatto	10/31/02
M	Expanded Control of Nonconforming Product and added information regarding PMRs.	John Gatto	03/24/03
N	Expanded Control of Nonconforming Products to include information regarding nonconformance's discovered by the organization.	John Gatto	06/02/03
O	Added Senior lead duties, updated procedure flowchart and Metrics reference.	Raju Raymond	09/26/03
	<b>REVISION HISTORY continued on next page</b>		

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P	<p>Added references to New Business Lead and Deputy PM. Use of PM Tool and TOMS are identified. Added new Mission Model updating process. Expanded PM's responsibility to manage and monitor customer-supplied data (Section 6.9). Added reporting of Project related risks in Section 6.13. Included references to customer funded and IBD funded projects; added req. for annual review of customer agreements; rewrote the section for controlling the nonconforming products; added new req. of monthly PMR updates; and updated the Evaluation of Deliverables section for clarity.</p>	<p>S. Ferguson R. Raymond K. Vorndran</p>	03/27/04
Q	<p>Clarified sections 6.3 and 6.4 to clearly state what information the PM is responsible for updating. Deleted "Facility cover page" from 6.12. Changed insure to ensure throughout document.</p>	<p>S Ferguson S Raque</p>	4/21/04

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### **REFERENCE DOCUMENTS**

<b>Document Number</b>	<b>Document Title</b>
Current versions posted by NASA	Federal Acquisition Regulations and Supplements
NPD 7120.4	NASA Policy Directive for Program/Project Management
NPG 1441.1	NASA Records Retention Schedules
IVV 08	Contracting Officer Technical Representative (COTR) Procedure
IVV 09-1	Independent Verification and Validation System Level Procedure
IVV 09-2	Independent Assessments System Level Procedure
IVV 09-8	Project Start-up
IVV 14	Corrective and Preventative Action System Level Procedure
IVV 16	Control of Quality Records System Level Procedure

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## 1.0 Purpose

The purpose of this procedure is to establish a consistent and documented method of performing project management at the NASA Independent Verification and Validation (IV&V) Facility.

## 2.0 Scope

The scope of this procedure is subservient to and adheres to the higher level NASA NPD 7120.4, the NASA Policy Directive for Program/Project Management.

This procedure applies to all IV&V Facility personnel who perform project management for Independent Verification and Validation (IV&V), Independent Assessment (IA), or System/Software Engineering tasks for the IV&V Facility. For projects established prior to the requirements stated in this SLP taking affect, deviations to this procedure will be documented by the Project Manager (PM) and approved by IV&V Facility Management. This deviation document for each appropriate project shall be provided to the Administrative Staff to be filed in each Project File in accordance with Section 8.0 of this procedure and in accordance with the Facility's System Level Procedure titled Control of Quality Records (IVV-16).

## 3.0 Definitions & Acronyms

### 3.1 IV&V Facility Management

NASA personnel holding official management positions at the IV&V Facility.

### 3.2 IV&V Services Lead

IV&V Facility civil servant who provides management, leadership and guidance within the IV&V Services Organization.

### 3.3 Senior Lead

A NASA civil servant appointed by IV&V Facility Management to act as the Facility's Primary Point of Contact for their assigned area of responsibility (e.g. NASA Enterprise/Center). The Senior Lead is responsible for ensuring consistent, effective and efficient project management amongst the various projects within the Lead's scope. The Senior Lead will work with the PMs assigned to those projects to help resolve technical and performance issues related to management of the project.

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### **3.4 Project Manager (PM)**

IV&V Facility civil servant personnel, appointed by IV&V Facility Management, who perform project management functions.

### **3.5 Deputy Project Manager (DPM)**

IV&V Facility civil servant personnel, appointed by IV&V Facility Management for a specific Project, who assists the PM to perform project management functions.

### **3.6 Independent Verification and Validation (IV&V)**

A core process function performed by the IV&V Facility. See System Level Procedure IVV 09-1 for more explanation and detail.

### **3.7 Independent Assessments (IA)**

A core process function performed by the IV&V Facility. See System Level Procedure IVV 09-2 for more explanation and detail.

### **3.8 Project**

For the context of this SLP, a project is one or more IV&V, IA, or System/Software-Engineering task(s) being performed by the IV&V Facility for a specific customer.

### **3.9 Contractor**

An individual or an entity who enters into a legal contract to perform an activity or service for the IV&V Facility

### **3.10 Contracting Officer Technical Representative (COTR)**

A NASA civil servant responsible for the technical management of a contract and other duties as described in the NASA Federal Acquisition Regulations (FARs) and Supplements.

### **3.11 Formal Agreement (FA)**

A document used to identify the managerial, technical and business aspects of an agreement between the IV&V Facility and a customer to perform IV&V, IA, or System/Software Engineering tasks.

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### **3.12 IV&V Facility Concurrence Form (IV&V Form #1007)**

An IV&V Form used to capture concurrence by IV&V Facility Management or a PM that a product has been reviewed and is acceptable for distribution.

### **3.13 New Business Lead**

The New Business Lead is a NASA civil servant responsible for monitoring the establishment of new Agency missions and assessing the high level IV&V needs for those missions. The New Business Lead is responsible for the Mission Model which is used as input into the IBD.

### **3.14 Resource Management Office (RMO)**

The IV&V Facility's civil servant team responsible for the management and reporting of IV&V Facility financial resources.

### **3.15 Project Management Tool (PM Tool)**

A database tool used by PMs to capture project tasks, project status, deliverables and its acceptability status, etc.

### **3.16 Task Order Management System (TOMS)**

A web-based system used to generate and modify task orders with the contractor. This system allows PMs to initiate/modify task orders and review and approve vendor proposals.

### **3.17 IV&V Board of Directors (IBD)**

The IV&V Facility is funded through the NASA General and Administrative (G&A) budget. The IV&V Board of Directors is comprised of representatives from NASA Code Q, each Enterprise and IV&V. The IBD is responsible for allocating projects that will receive G&A funding.



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### **3.18 Acronyms**

CO	Contracting Officer
COTR	Contracting Officer Technical Representative
C/PAR	Corrective/Preventive Action Request
DPM	Deputy Project Manager
FA	Formal Agreement
FAR	Federal Acquisition Regulations
FRC	Federal Records Control
GFY	Government Fiscal Year
IA	Independent Assessment
IBD	IV&V Board of Directors
IV&V	Independent Verification and Validation
MOA	Memorandum of Agreement
NPD	NASA Policy Directive
PM	Project Manager
PMR	Project Management Review
RMO	Resource Management Office
SLP	System Level Procedure
TOMS	Task Order Management System

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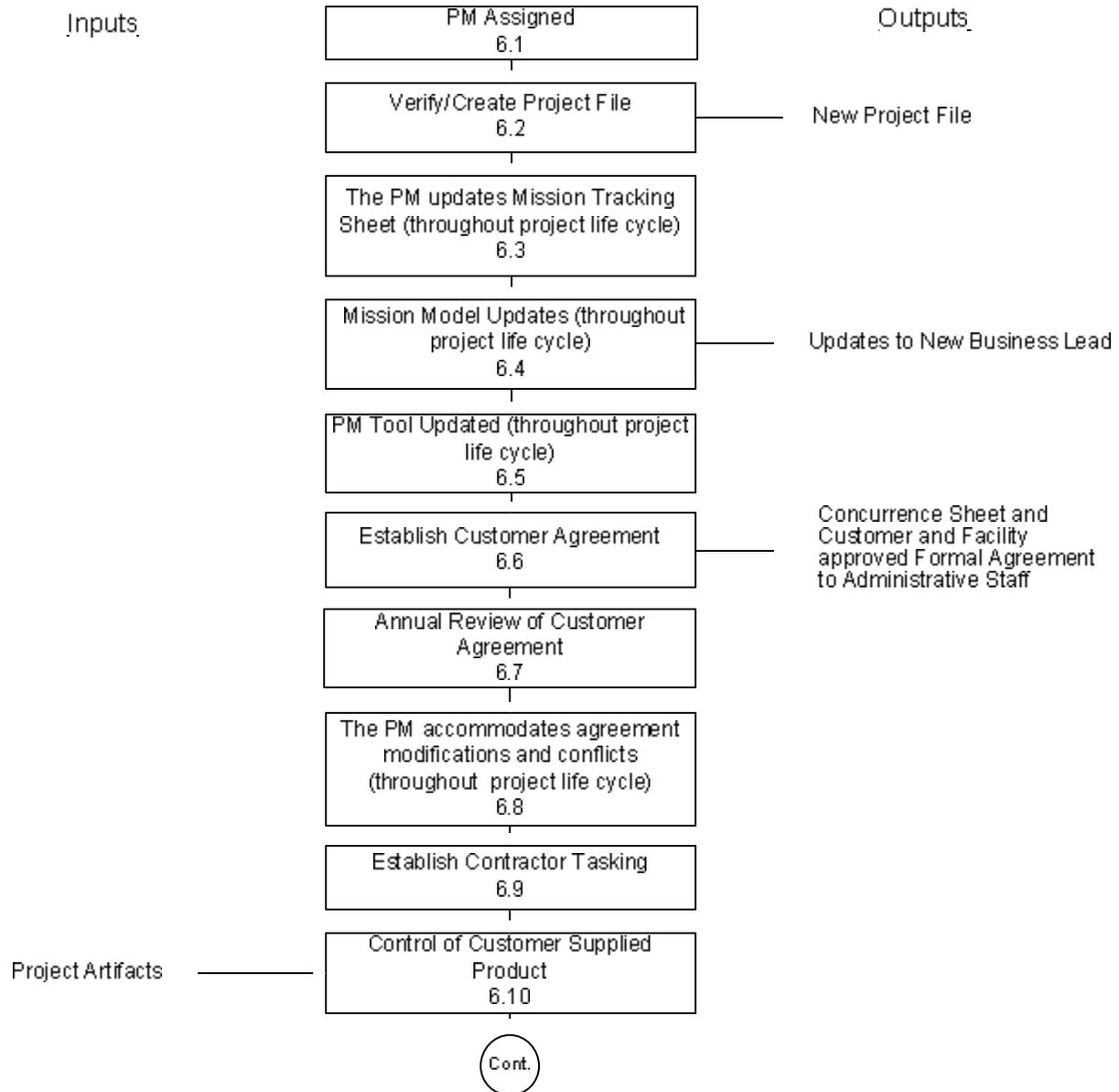


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### 4.0 Flowchart



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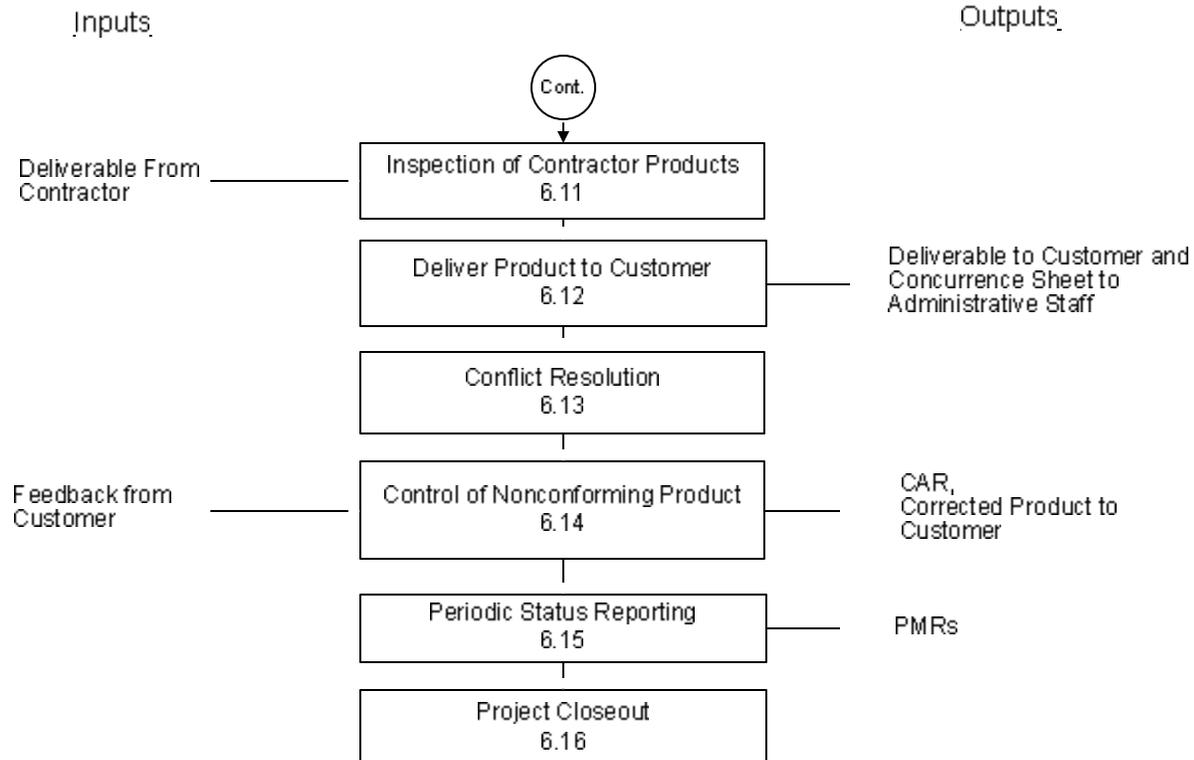


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### Flowchart Continued



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## 5.0 Responsibilities

Responsibilities are defined in Section 6.0 of this SLP.

## 6.0 Procedure

This procedure establishes a consistent and documented method of performing project management at the NASA IV&V Facility. This procedure is to be followed by each IV&V Facility PM. The PM must also follow IVV 09-8 Project Start-up process when performing IV&V or IA Start-ups.

### 6.1 Assign Project Manager (PM)

IV&V Facility Management shall assign an IV&V Facility civil servant as the PM for each project performed by the IV&V Facility for a customer. IV&V Services Lead may also assign an IV&V Facility civil servant as the Deputy Project Manager (DPM) for a specific project to assist the PM in performing project management functions.

### 6.2 Verify/Create Project File

If a Project file has not already been established in the IV&V Facility's filing system, the PM shall provide the full project name and acronym along with the Enterprise code to the IV&V Facility Administrative Staff to enable the establishment of a Project File in the IV&V Facility's filing system by the Administrative Staff for each project. The Administrative Staff will create the project file in accordance with the Facility's System Level Procedure titled Control of Quality Records (IVV-16).

### 6.3 Update Mission Tracking Sheet

A matrix identifying IV&V Mission Milestones is available on the Facility's shared drive. Major review points within the process of establishing new IV&V and IA projects are captured in this matrix. This matrix allows management to observe the effectiveness of each segment of the process and identify trends. PMs assigned to each mission represented are responsible for updating, maintaining and keeping the Mission Tracking Sheet current. Items needing to be updated by the PM include:

IV&V PM  
Date of start-up MOA  
Date of IV&V/IA MOA date  
Project Agreement Signatory

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Remarks

## 6.4 Update Mission Model

A matrix identifying IV&V life-cycle costs for projects is available on the Facility's shared drive. The IV&V Facility uses this model for planning purposes. PMs assigned to each project are responsible for verifying this data and providing any updates to the New Business Lead on a periodic basis, per the instructions in Section 6.4.1 below titled "Email Instructions". Items that need to be verified by the PM monthly in the Mission Model include:

- Program Manager and associated contact information
- Project Milestone dates
- IV&V PM
- IV&V Contract or Lead
- Funding Projections by Fiscal Year (actual spendplan per year with no carryover)

### 6.4.1 Email Instructions

The PM shall send an electronic mail message (email) titled "Mission Model Updates - <project name>" to the New Business Lead for each project that requires updates, identifying the project, updated information and justification for the modification.

## 6.5 PM Tool

The PM Tool is used by the IV&V PMs to capture information about each project being worked. This tool allows management to observe the effectiveness and establish trends within and between projects. PMs assigned to each project are responsible for updating, maintaining and keeping project data current. Items being tracked may include, but are not limited to:

- Contract Information
- Task Order Information
- Deliverables and Milestones
- Risks
- Significant Accomplishments
- Contacts (Project, Contractor, etc)
- Project Notes

## 6.6 Establish Customer Agreement

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For each project, the PM shall negotiate an agreement with the designated point of contact representing the customer. This agreement will document the managerial, technical and business aspects of the tasks to be performed for the customer. This process is described in detail below.

#### **6.6.1 Determine Type of Agreement**

The Senior Lead and the PM, along with the customer, shall determine the form of the agreement to be utilized between the IV&V Facility and the customer. Agreements may take the form of, but are not limited to, a Memorandum of Agreement (MOA), a task agreement, an Interagency Agreement, an IV&V Plan (IVVP) or a contract. Throughout the rest of this SLP, this agreement between the IV&V Facility and customer will be referred to as the Formal Agreement (FA).

#### **6.6.2 Determine Funding Type and Amount**

The PM will coordinate with the appropriate Senior Lead to determine the type of project funding (customer funded, IBD funded or other) and amount by GFY for the life of the project.

#### **6.6.3 Negotiate Agreement**

The PM and cognizant Senior Lead will negotiate the content of the FA with the customer. The FA shall contain but is not limited to the following information:

- Purpose
- Scope
- Duration
- Schedule and Milestones
- Points of Contact
- Roles and Responsibilities
- Deliverables
- Tasks to be performed
- Resources
- Budget
- Issue Resolution
- Signature lines for both parties (IV&V Facility and Customer)

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#### 6.6.4 Obtain Facility's Review and Approval of FA

Upon completing the negotiation of the FA with the customer, the PM shall submit the proposed agreement for review and approval using an IV&V Facility Concurrence Form, IV&V Form #1007. Approval must be obtained prior to officially submitting the FA to the customer for review and signature.

Type of Project	Review Participants
Customer Funded Projects	Associated COTR RMO Manager Cognizant Senior Lead IV&V Services Lead IV&V Facility Management
IBD funded	Cognizant Senior Lead IV&V Services Lead IV&V Facility Management

#### 6.6.5 Obtain Customer's Review and Approval of FA

After receiving Facility concurrence per Section 6.5.4 above, the FA shall be sent to the customer for review and signature. Modifications required by the customer during their review process must again go through the review and concurrence process described in the sections above and be re-submitted to the customer for review and signature.

#### 6.6.6 File Customer and Facility Approved FA and Corresponding Concurrence Form

Upon receipt of the customer signed FA, the PM shall ensure that a copy of the FA and the completed Concurrence Form (See Section 6.5.4) is provided to the Administrative Staff to file in the appropriate Project File as a Quality Record per Section 8.0 of this procedure and in accordance with IVV-16.

### 6.7 Annual Review of FA

The FA for any multi-year projects shall be reviewed annually by the PM to verify that the agreement is still valid and relevant. The PM shall use the IV&V Facility Concurrence Form, IV&V Form #1007 to document the

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annual review. The completed Concurrence Form is provided to the Administrative Staff to file in the appropriate Project File as a Quality Record per Section 8.0 of this procedure and in accordance with IV&V-16.

If any modifications are required, the PM will make the appropriate modifications and follow the procedures in this section of this SLP beginning with Section 6.5.4.

## **6.8 Accommodate Agreement Modifications and Issues**

The following sub-sections define how modifications or conflicts associated with the FA shall be accommodated.

### **6.8.1 Modifications to Agreement**

If any party requires modifications to the FA after being signed by the customer and IV&V Facility, the PM will again make the applicable modifications and follow the procedures in this section of this SLP beginning with Section 6.6.4.

### **6.8.2 Conflict Resolution**

If an issue arises either during the negotiation of the FA that can not be resolved by the PM and the customer point of contact, the PM will request assistance from the associated Senior Lead. If the issue still can not be resolved by the Senior Lead and the PM, the Senior Lead will notify the IV&V Services Lead. The IV&V Services Lead will be responsible for notifying IV&V Facility Management. IV&V Facility Management will then be responsible to coordinate with the appropriate customer personnel to resolve the issue.

## **6.9 Establish Contractor Tasking**

Based upon the FA with the customer, the PM shall coordinate with the contractor and associated COTR to establish the required tasking mechanisms with the contractor. The IV&V Facility currently uses the Task Order Management System (TOMS) to process Task Orders and approve Vendor Proposals.

### **6.9.1 Draft Task Order**

The PM will work with the contractor, cognizant Senior Lead, COTR, RMO and Contracting Officer (CO) to generate a Task Order that will provide direction and authorization to the contractor to perform the tasks

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associated with the FA between the IV&V Facility and customer. The PM shall utilize the Task Order generation process as established in each contract with the contractor (See IVV 08).

### **6.9.2 Obtain Task Order and Vendor Proposal Review and Approval**

Each Task Order and corresponding vendor proposal must be reviewed and approved by the PM, RMO, COTR, and CO. Task Order must be approved and awarded by the CO prior to initiation of work by the contractor.

### **6.10 Control of Customer Supplied Product and Product Identification and Traceability**

The PM is responsible, through the contractor, to ensure that appropriate customer supplied products (i.e. documents, code, databases, etc.) are used when performing tasks and that the contractor identifies the product used in the resulting report/output (i.e. version, date, etc.). In addition, the PM is responsible for identifying and adhering to any privacy and/or security related requirements associated with customer supplied products. The PM is also responsible for relaying this information and assuring that appropriate procedures are being followed by the contractor.

### **6.11 Inspection of Product from Contractor**

Every project related product required to be delivered to the IV&V Facility by a contract or Task Order between the contractor and the IV&V Facility, must be evaluated for quality and the results recorded.

#### **6.11.1 Evaluation of Deliverables**

Each PM is responsible for evaluating each project specific Deliverable (i.e. Monthly Status Report, Technical Reports, etc.) and the portions of contract level reports that contain project specific sections (i.e. Monthly Progress Report, 533M, etc.) within ten working days of delivery.

- The PM shall use the Deliverable/Milestone tab within the PM Tool to denote the following information:

General Section  
Document date

Original Section

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Due date  
Received date  
Received early, late, on-time  
Acceptable Status

If product is deemed unacceptable the PM will also complete the rejected date, and rejected issue information.

- If the product is deemed unacceptable (within the ten day period) and if corrective responses are provided to the contractor by the COTR and the contractor re-issues an acceptable product after being notified by the COTR, the product will be deemed acceptable.
- The PM Tool will send an email to the COTR that conforms to the email instructions denoted in Section 6.11.2.

#### **6.11.2 Email Instructions**

Each PM shall send an electronic mail message (email) titled "Deliverable Acceptability Status" to the COTR for each product inspected identifying the deliverable, the date of the deliverable, whether it was acceptable or not, and any pertinent comments regarding the result of the inspection.

#### **6.12 Deliver Product to Customer**

The PM assigned to each project by IV&V Facility Management is responsible for ensuring that all products delivered to a customer are of quality and in a format acceptable to the customer. The product may be delivered electronically or by hardcopy, as required by the agreement with the customer, after being reviewed and assessed for quality by the PM per the process identified below in this SLP.

The PM shall enter in the following information in the PM Tool under the Deliverable/Milestone tab, Delivery section:

Customer Due Date  
Date Delivered  
File Number  
Product Type  
Product sent early, late, on-time

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### **6.12.1 PM Review and Concurrence**

Prior to any product being delivered to a customer, the PM shall review the product and concur with its quality. The PM shall complete and sign an IV&V Facility Concurrence Form, IV&V Form #1007, identifying the title of the Deliverable, the date of the Deliverable, and the electronic location of the Deliverable.

### **6.12.2 Senior Lead Review and Concurrence**

PMs will make every effort to keep the Senior Leads informed regarding the IV&V approach and outcomes. At a minimum, PMs will brief the Senior Leads on findings that may ultimately result in recommendations to delay launch until they resolved or mitigated (typically Severity 1 and 2's).

The Senior Lead will review IV&V status presentations for major milestone reviews and those being given to senior NASA/Project management outside the Facility. The PM shall submit the review item for review and approval using an IV&V Facility Concurrence Form, IV&V Form #1007.

### **6.12.3 File Deliverable and Concurrence Form**

The PM shall submit the completed and signed IV&V Facility Concurrence Form for each product provided to a customer to the Administrative Staff to file in the appropriate Project File as a Quality Record per Section 8.0 of this procedure and in accordance with IVV-16. The PM will save an electronic version of the product delivered to the customer on the Facility shared drive. If the product can only be produced in a hardcopy form, a copy shall accompany the concurrence sheet when filed by the Administrative Staff.

## **6.13 Conflict Resolution**

If an issue arises during the performance of an agreement that cannot be resolved by the PM and the customer point of contract, the PM will request assistance from the associated Senior Lead. If the issue still cannot be resolved by the Senior Lead and the PM the Senior Lead will notify the IV&V Services Lead. The IV&V Services Lead will be responsible for notifying IV&V Facility Management. IV&V Facility Management will then be responsible to coordinate with the appropriate customer personnel to resolve the issue.

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### 6.14 Control of Nonconforming Product

Because the IV&V Facility produces independent analysis products that customers may not agree with, disagreement with the analysis does not constitute a nonconformance subject to this section of this SLP.

If the IV&V Facility identifies a problem with a product that has already been delivered to the project, the PM shall immediately inform the project of the problem. If the customer identifies a product produced by the IV&V Facility as nonconforming (e.g. an inappropriate format or because it was performed on the wrong customer product), the PM is responsible for resolving the issue entirely with the customer. Regardless how the problem has been identified:

- The PM shall complete a Corrective Action Request (CAR) form per IVV-14.
- The PM is responsible for insuring that the problem is resolved and that the customer is provided a full explanation of events.
- Once the nonconforming product has been corrected it shall then be subjected to its established verification process once again.
- Once the nonconforming product has been approved and sent to the customer, the PM should request closure of the CAR.

The C/PAR process ensures IV&V Facility Management is involved and aware that the problem has been resolved and documented.

### 6.15 Periodic Status Recording

The PM shall prepare a Project Management Review (PMR) to report to higher level IV&V Facility Management. The PMR shall be updated monthly (by the last working day of the month) and presented on a periodic basis during weekly staff meetings. The PMR shall contain a project overview, financial and other status, contributions, IV&V Project related risks and issues.

### 6.16 Perform Project Closeout

Once a project has been closed and all the tasks are completed for the customer according to the FA, the PM is responsible to ensure that the following closeout activities are completed.

- Catalog and archive the project artifacts.

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- Capture Lessons Learned from the tasks performed, if any.
- Work with the associated COTR to initiate Task Order close-out process.

## 7.0 Metrics

Metrics are collected in accordance with the Facility's Quality Metrics Program.

## 8.0 Records

The following records will be generated and filed either on a Facility shared network drive, in the PMs file or in the Project File by the Administrative Staff in accordance with IVV 16 and reference to NPG 1441.1 NASA Records Retention Schedules.

Document Name and Identification Number	User Responsible for Record Retention	Retention Requirement	Location
Deviation Document	Project Manager	Permanent - Retire to FRC when file is closed	Administrative Project File
Concurrence Form (IV&V Form 1007) for associated Formal Agreement Submitted to Customer	Project Manager	Permanent - Retire to FRC when file is closed	Administrative Project File
Formal Agreement signed by Customer	Project Manager	Permanent - Retire to FRC when file is closed	Administrative Project File
Concurrence Form (IV&V Form 1007) for Formal Agreement annual review	Project Manager	Permanent - Retire to FRC when file is closed	Administrative Project File
Product Delivered to Customer	Project Manager	Permanent - Retire to FRC when file is closed	Shared Network Drive
Deliverable Acceptability Status	COTR	Permanent - Retire to FRC when file is closed	Shared Network Drive
Concurrence Form (IV&V Form 1007) for Customer Deliverables	Project Manager	Permanent - Retire to FRC when file is closed	Administrative Project File

CHECK THE MASTER LIST AT <http://ims.ivv.nasa.gov/>  
 VERIFY THAT THIS IS THE CORRECT REVISION BEFORE USE