

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code SJ]
NASA Management Office (Code SJ)

Subject: JPL Reimbursable Task Order Award



**NASA Headquarters
Office of Space Science (OSS)**

Office Work Instruction

JPL Reimbursable Task Order Award

Approved by: (Original signed by Dr. Earle K. Huckins) Date: (07/05/2001)
Dr. Earle K. Huckins
Deputy Associate Administrator for Space Science

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DOCUMENT HISTORY LOG

STATUS (BASELINE/ REVISION/ CANCELED)	DOCUMENT REVISION	EFFECTIVE DATE	DESCRIPTION
Baseline		11/16/1999	<ul style="list-style-type: none"> Initial "baseline" version of the OWI.
Revision	A	05/01/2000	<ul style="list-style-type: none"> Adds definition of "Reimbursable Agreement" in Section 3. Adds "NASA Reimbursable and other Customer Agreements" as a new reference document in Section 4. Adds new Steps #6.3, #6.5, and #6.6 in Section 5 and Section 6. Deletes (old) Step #6.7 in Section 5 and Section 6. Changes Action Officer from "NMO Contracting Officer" to become "NMO Contract Specialist" for (old) Step #6.12 in Section 5 and Section 6. Changes Action Officer from "NMO Contracting Officer" to become "NMO Budget Analyst" for (old) Step #6.14 in Section 5 and Section 6. Incorporates modifications by Process Owner to process description in (old) Steps #6.9, #6.10, #6.11, #6.22, #6.23, and #6.25 in Section 6. Updates all citations of quality record "NASA-JPL Form 23A" to become "NMO Form 23B" in Section 5, Section 6, and Section 7.
Revision	B	05/16/2001	<ul style="list-style-type: none"> Deletes mandatory requirement to secure a Determination and Findings (D&F) document from reimbursable sponsors in Section 3, Section 5, and Section 6. Replaces references to "Headquarters Accounting Division (HAD)" with "Regional Finance Office (RFO)" in Section 3, Section 5, and Section 6. Incorporates new entries and new title of HCP3410-4B into Section 4. Incorporates url's for referenced documents into Section 4. Incorporates modifications by Process Owner to process description in (old) Steps #6.7, #6.15, and #6.22 in Section 6. Revises format of Section 5 and Section 6 (e.g., indicates process step numbers as <u>integers</u>, and gray-shades actions that are out-of-scope for NASA OSS Code SJ civil servants). Updates identity of Action Officers in Section 5 and Section 6. Revises "footer" to indicate both "internal" and "external" web sites for NASA HQ ISO 9001 Documentation Master List.
Revision	C	07/05/2001	<ul style="list-style-type: none"> Addresses Observation from ISO 9001 external Surveillance Audit on 05/24/01 (regarding criteria for assessing Award Fee, G&A, CAAS, or DRDF) via modifications to Paragraph 3.6 in Section 3 and text for Step #12 in Section 6.

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1. PURPOSE

The purpose of this Office Work Instruction (OWI) is to define the process by which the Office of Space Science (OSS) awards reimbursable Task Orders (TO's) under the NASA/Caltech prime contract for operation of the Jet Propulsion Laboratory (JPL).

2. SCOPE AND APPLICABILITY

- 2.1 This OWI covers award of reimbursable TO's under the NASA/Caltech prime contract. Individual TO's are used to authorize the Jet Propulsion Laboratory (JPL) to furnish scientific and technical support to various Reimbursable Sponsors. Issuance of these TO's is a primary responsibility of the Contracts Management Section (CMS) of the NASA Management Office (NMO) at JPL.
- 2.2 JPL furnishes support to Reimbursable Sponsors, which JPL is permitted to undertake provided the support falls within a special competency as defined in the NASA/Caltech prime contract. Reimbursable-sponsored work is designated in bi-lateral TO's issued by the cognizant NMO Contracting Officer and accepted by the Caltech Office of General Counsel.
- 2.3 This OWI describes the process from initial identification of a requirement for JPL services or supplies through implementation of a corresponding reimbursable TO or TO Amendment contractually authorizing performance of the work.

3. DEFINITIONS

- 3.1 Contracts Management Office (CMO). The JPL business organization responsible for evaluating and verifying that planned JPL work for Reimbursable Sponsors invokes a special competency and is otherwise compliant with the terms and conditions of the NASA/Caltech prime contract.
- 3.2 Federally Funded Research and Development Center (FFRDC). A designation permitted where critical Government research and development needs cannot be met as effectively through existing Government resources or normal contractor relationships, necessary to facilitate accomplishment of NASA mission-essential functions.

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3. DEFINITIONS *(continued)*

- 3.3 Jet Propulsion Laboratory (JPL). NASA's only FFRDC. It conducts solar-system exploration.
- 3.4 NASA Headquarters Form 822. A resource authority warrant prepared by the NMO and issued by the RFO for funding of reimbursable projects. It is used under the NASA/Caltech prime contract as a funding document once allotment is assured and the funds are certified and committed by the RFO.
- 3.5 NASA Management Office (NMO). The local NASA contracting authority for matters pertaining to operation of the Jet Propulsion Laboratory.
- 3.6 Overheads. The NASA/Caltech prime contract provides that Reimbursable Sponsors are assessed a fixed percentage of each TO that funds JPL work for JPL Director's Research and Development Fund (DRDF), Award Fee (AF), Agency General and Administrative (G&A) Cost, and Contract Administration and Audit Services (CAAS). DRDF and AF amounts are applied to promote expanded research and development activities at JPL. Agency G&A is assessed to reflect costs to operate and maintain the Agency without regard to the programs and projects carried out.
- 3.7 Regional Finance Office (RFO). The Goddard Space Flight Center division responsible for certifying funds availability prior to the NMO's obligating them against the NASA/Caltech prime contract for JPL performance of effort for Reimbursable Sponsors.
- 3.8 Reimbursable Agreement. A Task Order file that consists of the JPL Task Plan, sponsor funding document, NMO Technical Review memorandum, NMO Form 23, and advance payment (non-Federal agency sponsors only).
- 3.9 Reimbursable Sponsors. Comprising Federal-, State-, and local-government agencies, commercial-industry firms, educational institutions, and non-profit entities.

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3. DEFINITIONS *(concluded)*

- 3.10 Reimbursable Task Order. A TO authorizing JPL to perform work in support of a NASA program or mission invoking a JPL core competency or area of specialization.
- 3.11 Task Order (TO). A contractual document issued by the NMO Contracting Officer to provide specific authorization or direction and to obligate funding for JPL to perform work within the scope of the NASA/Caltech prime contract for a specific JPL task. Each TO contains a separate Statement of Work describing the effort to be performed or the services or supplies to be furnished, JPL special competency, an estimated dollar value, and a specified period of performance. A TO obligating initial Reimbursable-Sponsor funding is referred to as the “basic” version. TO’s are amended where necessary to obligate additional Reimbursable-Sponsor funding increments or to incorporate JPL-initiated and NMO Contracting Officer-approved administrative actions such as period-of-performance extensions or modifications to contractual terms and conditions.

4. REFERENCES

- 4.1 ANSI/ISO/ASQC Q9001-1994
American National Standard, Quality Systems -- Model for
Quality Assurance in Design, Development, Production,
Installation, and Servicing
- 4.2 FMM 9090 NASA Reimbursable and other Customer Agreements
- 4.3 HCP1400-1 Document and Data Control
[\[http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HCP1400-1.html\]](http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HCP1400-1.html)
- 4.4 HCP1280-2 Corrective and Preventive Action
[\[http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HCP1280-2.html\]](http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HCP1280-2.html)
- 4.5 HCP1280-3 Internal Quality Audits
[\[http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HCP1280-3.html\]](http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HCP1280-3.html)

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4. REFERENCES (concluded)

- 4.6 HCP3410-4 Quality System Training
[\[http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HCP3410-4.html\]](http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HCP3410-4.html)
- 4.7 HQPC1150.1 NASA Headquarters Quality Council Policy Charter
[\[http://nodis.gsfc.nasa.gov/Library/Directives/HQ/\]](http://nodis.gsfc.nasa.gov/Library/Directives/HQ/)
- 4.8 HQSM1200-1 NASA Headquarters Quality System Manual
[\[http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HQSM1200-1.html\]](http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HQSM1200-1.html)
- 4.9 NAS7-1407 NASA/Caltech Prime Contract
- 4.10 NPD 1000.1 NASA Strategic Plan
[\[http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1__\]](http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1__)
- 4.11 NPD 8730.3 NASA Quality Management System Policy (ISO 9000)
[\[http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=8__\]](http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=8__)
- 4.12 NPG 1000.2 NASA Strategic Management Handbook
[\[http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1__\]](http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1__)
- 4.13 NPG 1000.3 The NASA Organization
[\[http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1__\]](http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1__)
- 4.14 NPG 1441.1 NASA Records Retention Schedules (NRRS)
[\[http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1__\]](http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1__)

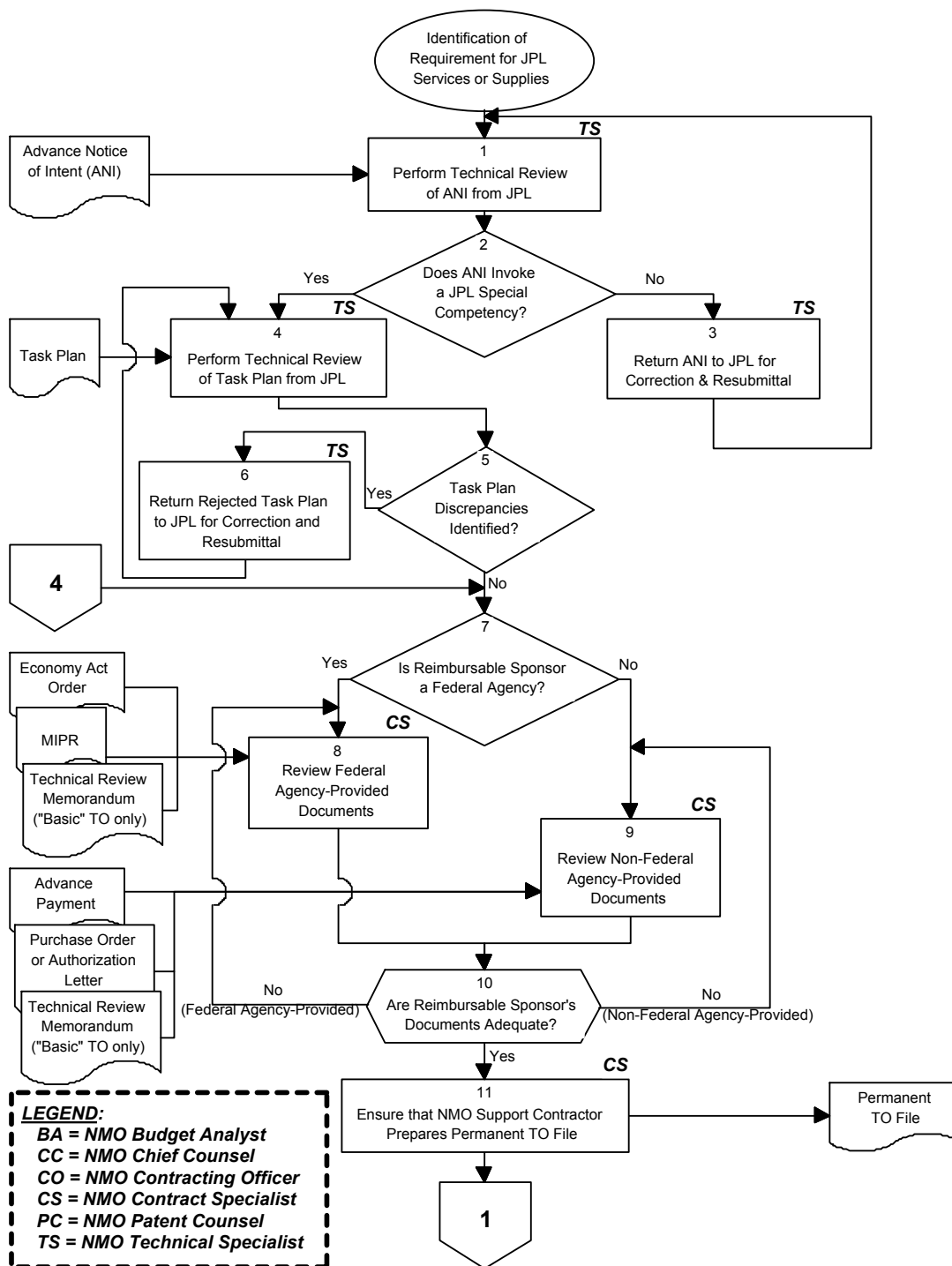
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5. FLOWCHART

[NOTE #1: Process steps are numbered in accordance with their corresponding step numbers in Section 6.]

[NOTE #2: "Quality records" are identified via bold-text titles and shadowing of the border of their symbols.]

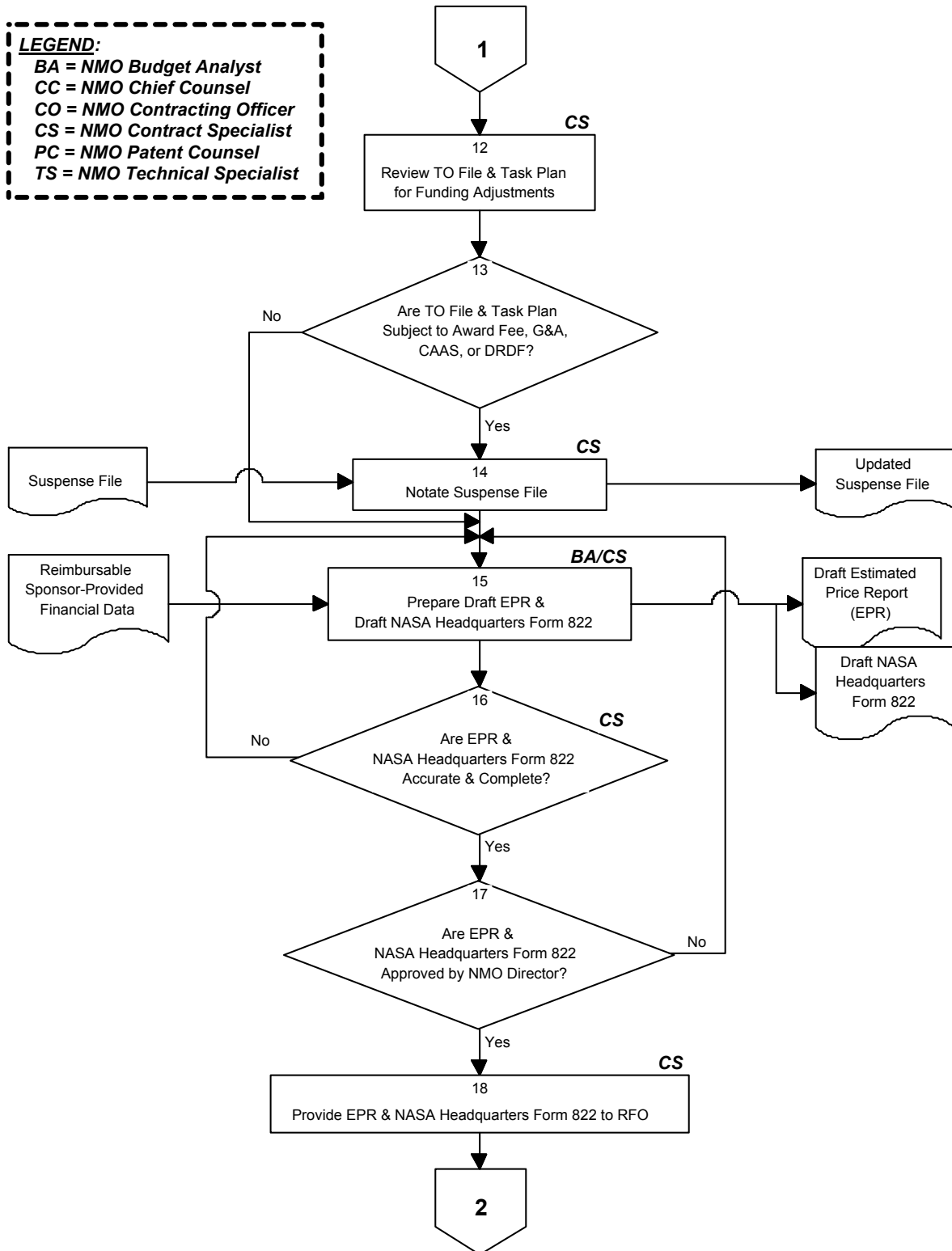


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5. FLOWCHART (continued)

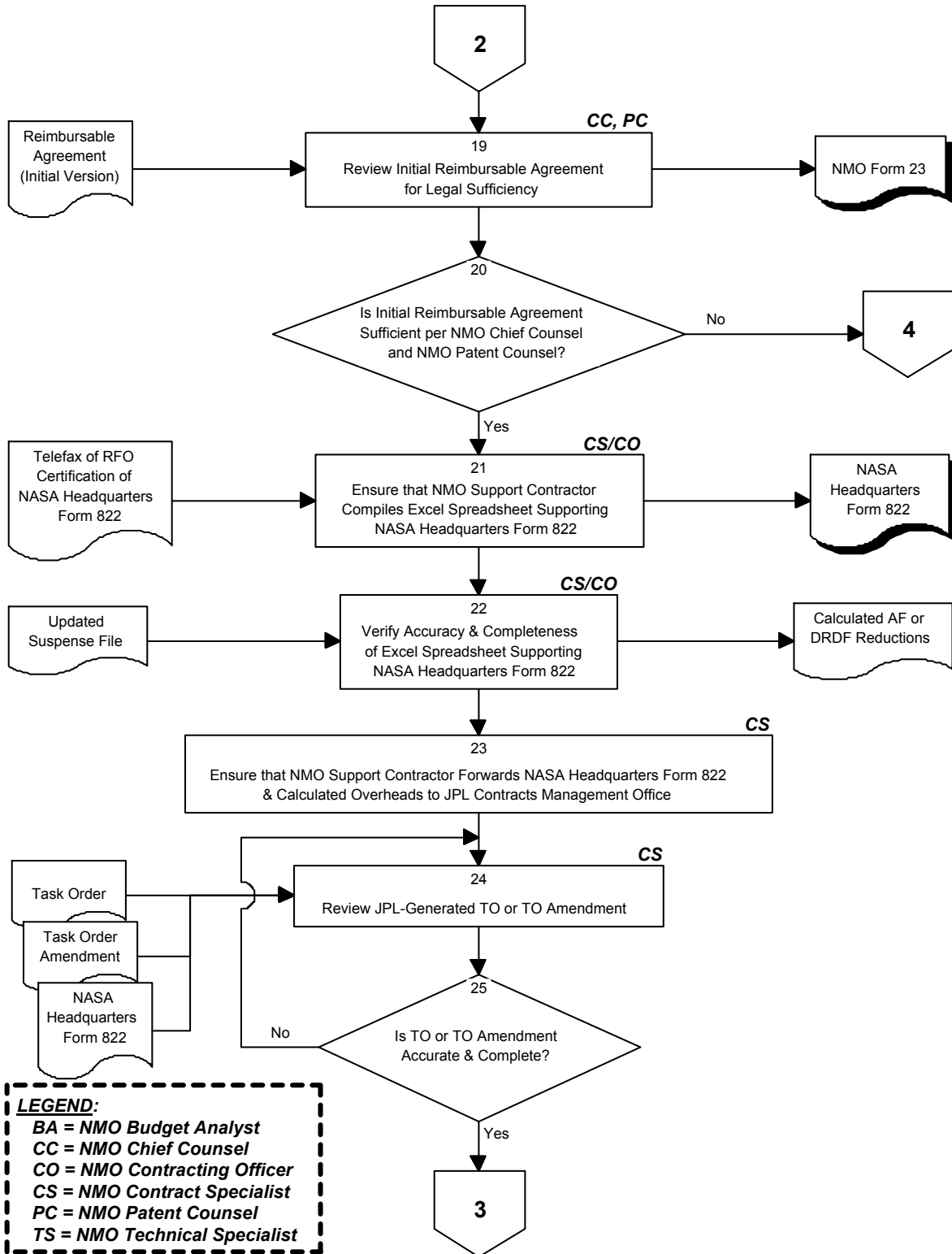
LEGEND:
 BA = NMO Budget Analyst
 CC = NMO Chief Counsel
 CO = NMO Contracting Officer
 CS = NMO Contract Specialist
 PC = NMO Patent Counsel
 TS = NMO Technical Specialist



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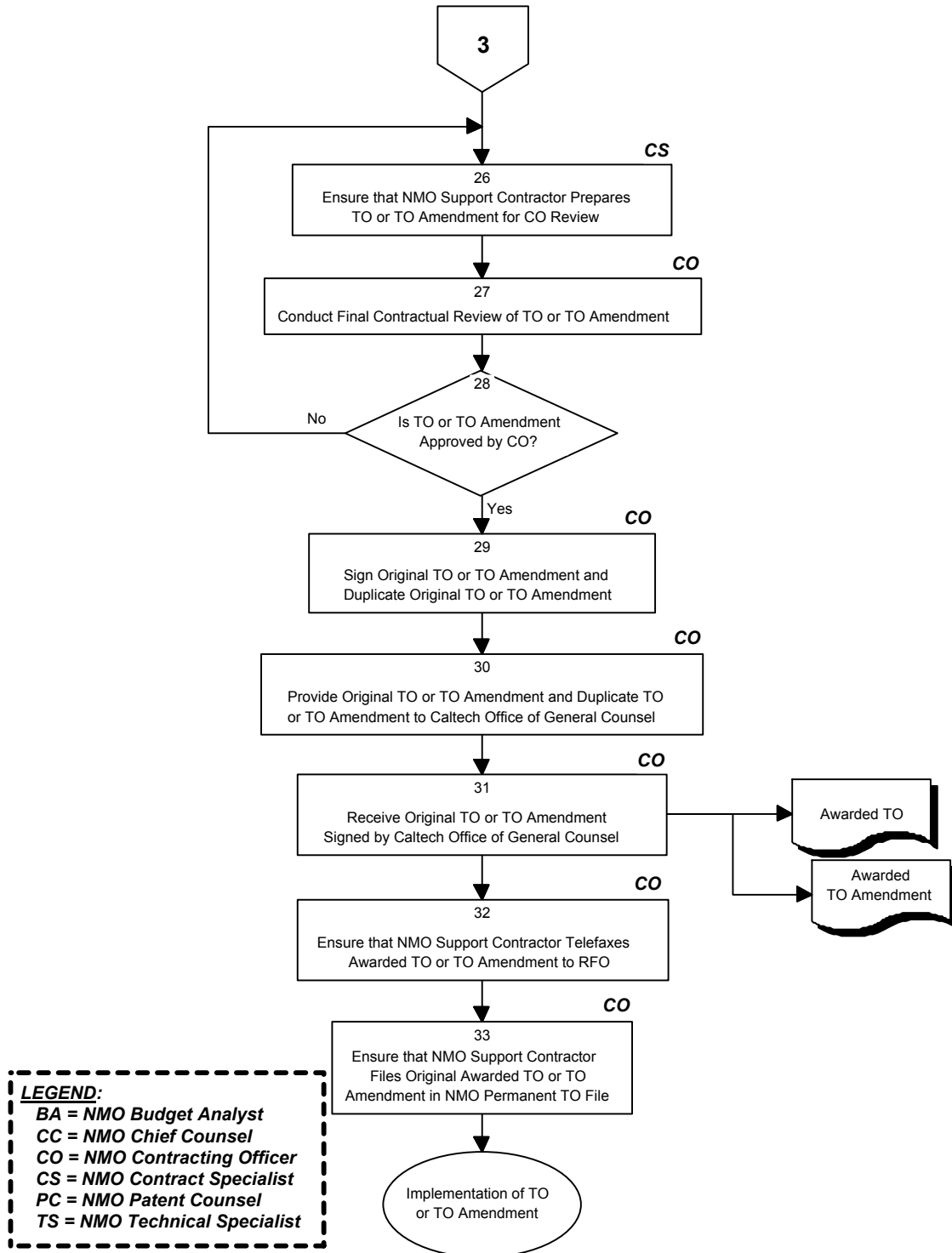
5. FLOWCHART (continued)



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5. FLOWCHART (concluded)



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[NOTE #1: Gray-shaded text indicates activities that are performed within the overall process but are outside the scope of this OWI (which is restricted to the actions performed by NASA OSS Code SJ civil servants).]

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
		<i>[The process commences when a requirement for JPL services is identified via discussions between JPL and a Reimbursable Sponsor. This new requirement is documented in an Advance Notice of Intent (ANI) provided by JPL to the NMO Technical Specialist.]</i>
1	NMO Technical Specialist	Perform a technical review of the ANI submitted by JPL.
2		If the NMO technical assessment of the ANI determines that the planned work does not invoke a JPL special competency, proceed to Step #3. If the scope of work is found to be acceptable, proceed to Step #4.
3	NMO Technical Specialist	Return the ANI to JPL for correction and resubmittal (prior to Step #1).
4	NMO Technical Specialist	Perform a technical review of the Task Plan provided by JPL.
5		If discrepancies are identified in the Task Plan, proceed to Step #6. If the Task Plan is acceptable, proceed to Step #7.
6	NMO Technical Specialist	Return the rejected Task Plan to JPL for correction and resubmittal (at Step #4).

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6. PROCEDURE *(continued)*

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
7		<p>If the Reimbursable Sponsor is an agency of the Federal Government, proceed to Step #8. If the Reimbursable Sponsor is not an agency of the Federal Government, proceed to Step #9.</p> <p>[For Federal-agency sponsors, rules governing interagency acquisitions apply. These rules may require creation of an Economy Act Order by the Reimbursable Sponsor. The Economy Act authorizes agencies of the Federal Government to enter into mutual agreements to obtain supplies or services. Federal agencies must also provide a Military Interdepartmental Purchase Request (MIPR) or equivalent document funding JPL work to be performed for the initial Task Order (TO) and any modification to it.]</p> <p>[Non-Federal-agency sponsors must furnish an advance payment in addition to a Purchase Order or Authorization Letter referencing the Task Plan to be funded.]</p>
8	NMO Contract Specialist	Review Federal-agency-provided documents for adequacy. For a "basic" (i.e., initial version) TO, obtain a Technical Review memorandum from the Technology Transfer Section of the NMO indicating that the proposed activity is consistent with the NASA/Caltech prime contract.
9	NMO Contract Specialist	Review non-Federal-agency-provided documents for adequacy. For a "basic" (i.e., initial version) TO, obtain a Technical Review memorandum indicating that the proposed activity is consistent with the NASA/Caltech prime contract.

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<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
10		<p>If the Reimbursable Sponsor's documents are determined to be adequate, proceed to Step #11. If any of the Reimbursable Sponsor <i>Federal</i> agency documents are incomplete, return to Step #8. If any of the Reimbursable Sponsor <i>non-Federal</i> agency documents are inadequate, return to Step #9.</p> <p><i>[The NMO Contract Specialist coordinates requisite document changes with the submitting Reimbursable Sponsor. If these coordination efforts are unsuccessful, the documents are returned to the Reimbursable Sponsor without action after notifying JPL of the relevant circumstances.]</i></p>
11	NMO Contract Specialist	Ensure that the NMO Support Contractor prepares a permanent TO file to associate all related documents.
12	NMO Contract Specialist	Review the TO File and Task Plan to determine whether they are subject to Award Fee, G&A, CAAS, or DRDF. The specific amount of Award Fee, G&A, CAAS, or DRDF to be assessed against the individual TO is identified in the "Business and Cost" portion of the supporting Task Plan, under Section E "Special Provisions" within the subsection "Miscellaneous Charges".
13		If the TO File and Task Plan are subject to Award Fee, G&A, CAAS, or DRDF, proceed to Step #14. If not, proceed to Step #15.
14	NMO Contract Specialist	Annotate the Suspense File for informational purposes (to be used in Step #15, and in Step #24 to calculate overheads).

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6. PROCEDURE *(continued)*

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
15	NMO Budget Analyst/ NMO Contract Specialist	Prepare a draft Estimated Price Report (EPR) to determine applicable overhead charges to be assessed (e.g., Agency G&A and CAAS). Prepare a draft NASA Headquarters Form 822 "Reimbursable Resource Authority Warrant" based upon financial data provided by the Reimbursable Sponsor and the draft EPR.
16		If the EPR and the NASA Headquarters Form 822 are determined by the NMO Contract Specialist to be accurate and complete, proceed to Step #17. If not, return to Step #15.
17		If the EPR involves a sponsor request for a waiver, then the NMO Director's approval is required. If the NMO Director approves the NASA Headquarters Form 822 via signature on that document, proceed to Step #18. If the EPR and/or the NASA Headquarters Form 822 is not approved, the NMO Budget Analyst or NMO Contract Specialist revises the contents of the EPR and/or the NASA Headquarters Form 822 per comments from the NMO Director and resubmits the form at Step #15.
18	NMO Contract Specialist	Provide the approved EPR and NASA Headquarters Form 822 to the RFO.
19	NMO Chief Counsel NMO Patent Counsel	Review the initial submission of the Reimbursable Agreement (provided by the NMO Contract Specialist) for legal sufficiency. The results of this review are indicated on NMO Form 23.

[In rare circumstances, if the NMO Contract Specialist is apprised of a legal issue at the time of initial Task Plan review, the NMO Chief Counsel and NMO Patent Counsel review may be requested earlier (at Step #7).]

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6. PROCEDURE *(continued)*

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
20		If the initial Reimbursable Agreement is determined to be legally sufficient, proceed to Step #21. If the initial Reimbursable Agreement is not legally sufficient, return to Step #7.
21	NMO Contract Specialist/ NMO Contracting Officer	Receive a telefaxed copy of the RFO-certified NASA Headquarters Form 822 indicating verification of available funding. Ensure that the NMO Support Contractor compiles an Excel spreadsheet supporting the NASA HQ Form 822, including applicable Award Fee or DRDF. <i>[Receipt of the certified NASA Headquarters Form 822 and performance of the NMO legal review at Step #19 often occur simultaneously. This is to ensure that the NMO handles each reimbursable transaction as expeditiously as possible.]</i>
22	NMO Contract Specialist/ NMO Contracting Officer	Verify the accuracy and completeness of the Excel spreadsheet supporting each NASA Headquarters Form 822.
23	NMO Contract Specialist	Ensure that the NMO Support Contractor forwards a copy of the NASA Headquarters Form 822 and associated overhead computations to the JPL Contracts Management Office.
24	NMO Contract Specialist	Review the TO or TO Amendment prepared by the JPL Contract Administrator (utilizing information contained in the NASA Headquarters Form 822) for accuracy and completeness.
25		If the TO or TO Amendment is acceptable, proceed to Step #26. If a deficiency is noted in the TO or TO Amendment, return to Step #24 (i.e., return the TO or TO Amendment to JPL for correction and resubmission to the NMO).

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<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
26	NMO Contract Specialist	Ensure that the NMO Support Contractor prepares the TO or TO Amendment for review by the NMO Contracting Officer.
27	NMO Contracting Officer	Conduct the final contractual review of the TO or TO Amendment.
28		If the NMO Contracting Officer approves the TO or TO Amendment, proceed to Step #29. If the TO or TO Amendment is not approved, return to Step #26.
29	NMO Contracting Officer	Sign the original copy of the TO or TO Amendment and a duplicate original copy of the TO or TO Amendment.
30	NMO Contracting Officer	Provide both the original copy of the TO or TO Amendment and the duplicate original copy of the TO or TO Amendment to the Caltech Office of General Counsel.
31	NMO Contracting Officer	Receive the original copy of the TO or TO Amendment signed by the Caltech Office of General Counsel.
32	NMO Contracting Officer	Ensure that the NMO Support Contractor telefaxes the awarded TO or TO Amendment to the RFO.
33	NMO Contracting Officer	Ensure that the NMO Support Contractor files the original copy of the awarded TO or TO Amendment in the NMO permanent TO file.

[This process ends when a new TO or TO Amendment has been awarded and begins to be implemented.]

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RECORD IDENTIFICATION	OWNER	LOCATION	MEDIA: ELECTRONIC OR HARDCOPY	NPG 1441.1 SCHEDULE NUMBER AND ITEM NUMBER	RETENTION/ DISPOSITION
NMO Form 23	NMO Contracting Officer	NMO CMS files	Hardcopy	Schedule 5, Item 6	Retire to FRC when no longer needed for reference. Destroy when related contract [sic] or when 25 years old, whichever is later.
NASA Headquarters Form 822	NMO Contracting Officer	NMO CMS files	Hardcopy	Schedule 5, Item 23	Destroy after completion or cancellation of Program.
Awarded Task Order (original copy)	NMO Contracting Officer	NMO CMS files	Hardcopy	Schedule 5, Item 23	Destroy after completion or cancellation of Program.
Awarded Task Order Amendment (original copy)	NMO Contracting Officer	NMO CMS files	Hardcopy	Schedule 5, Item 23	Destroy after completion or cancellation of Program.

[NOTE #1: These "quality records" are identified in Section 5 ("Flowchart") of this OWI via bold-text titles and shadowing of the border of their symbols.]

[NOTE #2: In accordance with NPG 1441.1 NASA Records Retention Schedules, "... installations' office of primary responsibility will maintain one official record copy ...; reference copies may be maintained for related work". Therefore, the "Retention" and "Disposition" aspects of quality records apply only to the one official record copy of each quality record.]