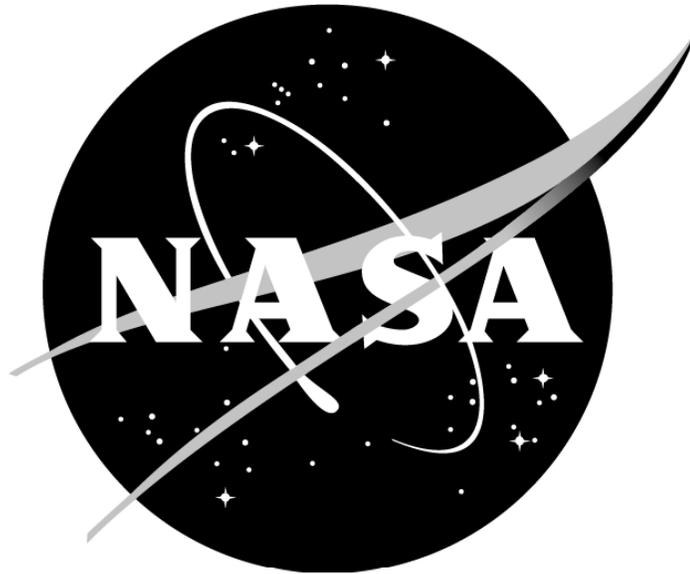


Responsible Office: Code H/ Office of Procurement
Subject: Procurement Management Survey Process



OFFICE OF PROCUREMENT

Office Work Instruction

PROCUREMENT MANAGEMENT SURVEY
PROCESS

Original Approved by: Thomas S. Luedtke
Associate Administrator for Procurement

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1. Purpose

The amount of NASA's annual budget devoted to acquisitions makes it essential for the Office of Procurement to maintain a continuing program for periodic oversight of contracting activities throughout the Agency. Procurement Surveys serve as an element of the Agency's requirement to maintain internal control and review of its operations. The purpose of this office work instruction (OWI) is to establish a consistent and documented method for conducting the NASA Procurement Management Survey.

2. Scope and Applicability

- 2.1 This OWI is applicable to the periodic comprehensive procurement management surveys led by the Program Operations Division (Code HS) and performed at NASA installations.

3. Definitions

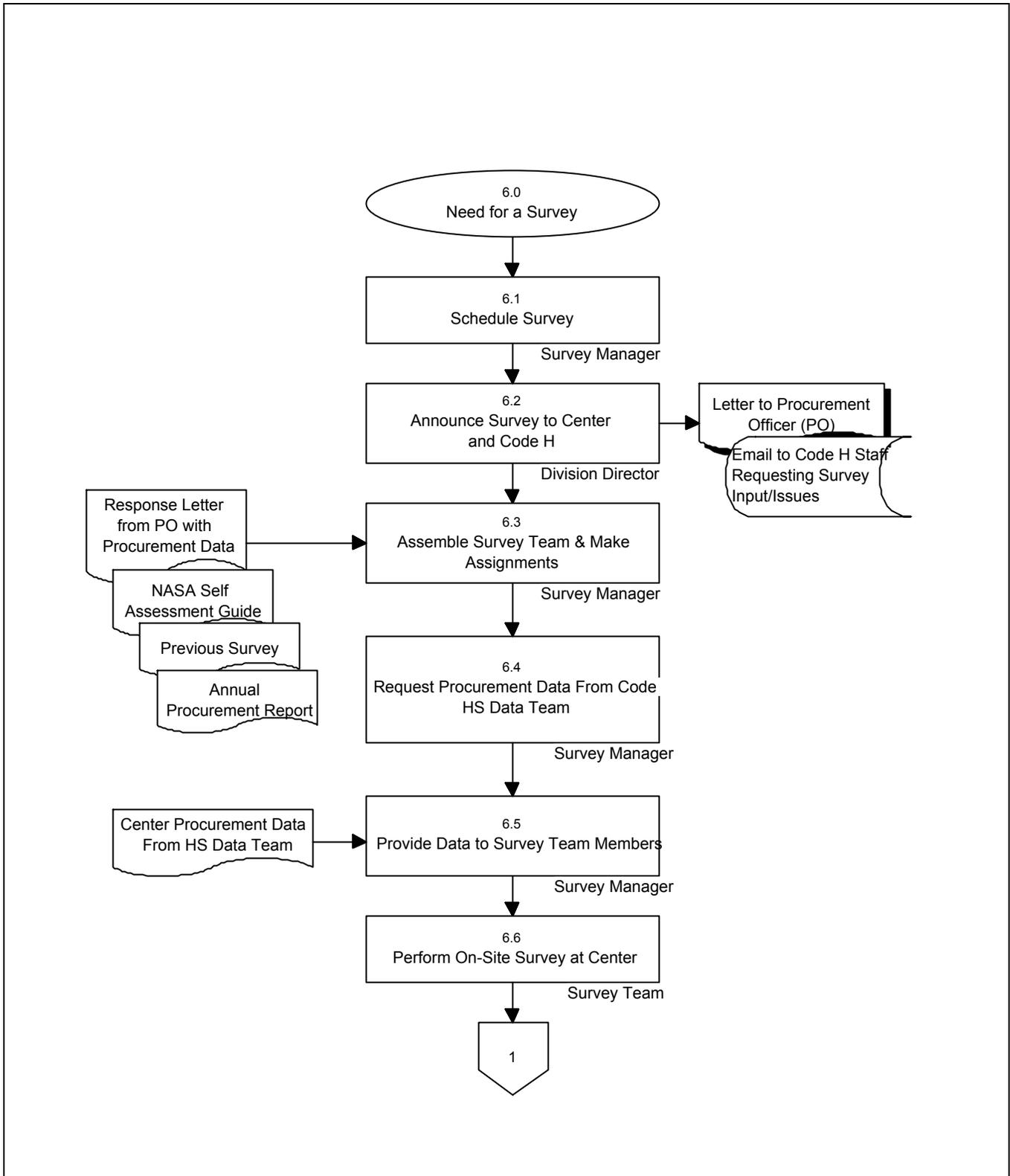
- 3.1 AA for Procurement. Associate Administrator for Procurement at NASA Headquarters.
- 3.2 Code H. The Office of Procurement at NASA Headquarters.
- 3.3 Code HS. The Program Operations Division in the Office of Procurement at NASA Headquarters.
- 3.4 PO. Procurement Officer at a NASA Center.

4. References

- 4.1 NPG 1000.2 NASA Strategic Management Handbook
- 4.2 Federal Acquisition Regulation (FAR), located at http://procurement.nasa.gov/cgi-bin/NAIS/nasa_ref.cgi
- 4.3 NASA FAR Supplement (NFS), located at http://procurement.nasa.gov/cgi-bin/NAIS/nasa_ref.cgi
- 4.4 NASA Procurement Library (WWW), located at <http://ec.msfc.nasa.gov/msfc/procref.html>
- 4.5 NASA Self Assessment Guide, located at <http://ec.msfc.nasa.gov/hq/library/SELF.html>

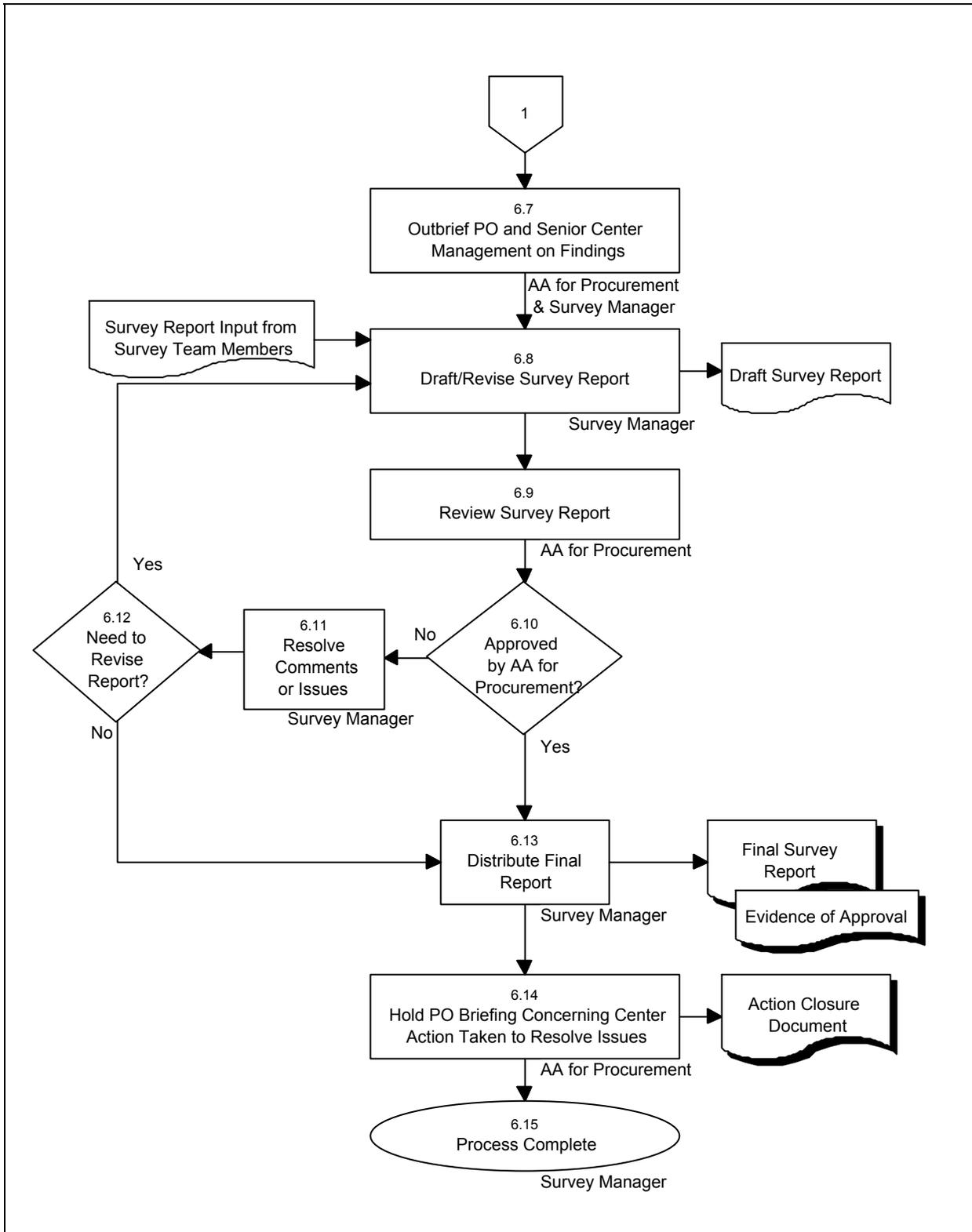
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5. Flowchart



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Flowchart – continued



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6. Procedure

Step	Actionee	Action
6.0		Determine need for a survey. The frequency of surveys at each Center vary and are determined by Code H based on the magnitude of obligations, volume of contract actions and quality of procurement systems at each Center.
6.1	Survey Manager	Prior to the beginning of each fiscal year, the Survey Manager will establish dates for surveys to be performed during the forthcoming year. Projected survey dates will be determined in collaboration with the PO at each Center to be surveyed. The Survey Manager will coordinate projected survey dates with the AA for Procurement, the Deputy AA for Procurement, and the Director of the Program Operations Division to ensure that one of those officials is available to represent Code H at the exit briefings to be conducted at the end of each survey.
6.2	Division Director	Before each survey, the Survey Manager will compose a letter to the Procurement Officer that formally announces the dates for the Center survey. The letter will contain requests for Center procurement data for the 2 years preceding the survey and information regarding the staffing and organization of the Center's Procurement Office. The data requested from the Center is in the form of lists of Contracts, Modifications, Unfinalized Contract actions, grants, purchase orders, etc. Office space needed for the Survey Team and other resources, such as computers and office supplies, that the center is expected to provide for the Survey Team will also be described in the letter. The PO will also be asked to schedule an entrance conference for the survey, an exit briefing with the Center Director at the conclusion of the survey, and a briefing on the survey results for the PO and any designated procurement staff immediately preceding the Center Director's meeting. The letter announcing the survey will be sent to the Procurement Officer approximately 2 months in advance of the survey. At approximately the same time that the announcement letter is sent to the Procurement Officer, an e-mail will be sent to all members of the NASA Headquarters Code H staff soliciting their inputs on review topics (Center performance on initiatives,

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		politically hot items, contract performance on specific contracts, etc.) for the upcoming survey.
6.3	Survey Manager	Assemble team and make assignments. The size of the survey team will vary depending on the magnitude of the center's obligations, the size of the Center's procurement organization, the number of procurement actions, and the specific areas to be reviewed during the survey. Documentation that will be reviewed in making this determination includes computerized procurement data from the Center to be surveyed, the most recent previous procurement survey of that Center of that Center, and the most recent NASA Annual Procurement Report of obligations and actions throughout the Agency. The Survey Manager will recruit survey participants from all divisions in the Office of Procurement at NASA Headquarters and from the procurement organizations at NASA field centers. Selection of team members from NASA Headquarters will be coordinated with the Division Directors in the Office of Procurement and selection of center survey team members will be coordinated with the Center POs. The survey team may also include a member designated by the Office of Small and Disadvantaged Business Utilization (OSDBU). Code H Division Directors, the Associate Administrator for OSDBU, and Center Procurement Officers will be asked to recommend survey participants based on the experience and job assignments of the individual recommended. The Survey Manager may rely on his professional judgment in making final decisions regarding team membership. The Survey Manager will determine specific areas to be surveyed and make survey team assignments prior to each survey. If possible, survey assignments will be matched with preferences expressed by survey team members.
6.4	Survey Manager	Request Procurement Data from the Code HS Data team.
6.5	Survey Manager	Provide center procurement data to team members. This will be done approximately 2-3 weeks prior to the survey. Team members will use this data to select specific procurement actions for review. The Survey manager will advise the center of the specific procurement actions requested by the team members during the week preceding the survey.
6.6	Survey Team	Perform On-site survey at the center. The duration of

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		<p>the survey will be no less than one week and no more than 2 weeks. The survey will commence with an entrance conference between the survey team, the Center's PO, and Center attendees invited by the PO. At this meeting, members of the survey team are introduced, the survey's objectives and methodology are explained, and the specific areas of review are discussed. This meeting also generally includes a briefing on the Center's procurement organization by the PO. Two broad areas of activities take place during the survey. A portion of the survey team, usually including the survey manager, conducts interviews with Center personnel. Technical and program personnel are interviewed to determine the satisfaction level of the procurement organization's customers and also to ascertain specific concerns or issues regarding procurement at the Center. Acquisition personnel at the Center are interviewed to obtain their perspectives regarding the effectiveness of the procurement organization. Under the second broad category, team members conduct a review of specific procurement action files for compliance with statutes, regulations, and procedures. The objective of the compliance portion is to identify systemic problems or deficiencies in the Center's procurement processes as opposed to discovering isolated anomalies in individual contract files. Findings resulting from the survey are generally classified as strengths, weaknesses, or considerations. During the course of the survey, meetings to review progress of the survey and preliminary results will be conducted at the discretion of the Survey Manager. Survey efforts may be refocused or additional areas may be added as a result of such meetings.</p>
6.7	AA for Procurement and Survey Manager	<p>Outbrief PO and Senior Center management on Findings. In preparation for this outbrief, the survey team members will be required to complete a rough summary of their findings within a time frame specified by the Survey Manager. Prior to the outbrief, the survey team will review their findings with the AA for Procurement (or designee). The outbrief will be held on the final day of the survey. Just prior to the outbrief, the survey results are discussed with the PO and key members of their organization.</p>
6.8	Survey Manager	<p>Draft/Revise Survey Report. Consult with HS Team</p>

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		Leaders and affected Division Directors. Survey team members are responsible for submitting their final findings to the survey manager approximately 2 weeks after the outbrief at the center. A formal, written survey report, which addresses the overall quality of the procurement process at the Center and consolidates all findings and recommendations of the survey team, is compiled by the survey manager. There is no required format for the report. The Survey Manager can tailor the report to meet the needs of the individual Center and frequently uses previous Center reports as a template.
6.9	HS Team Leaders H Division Directors AA for Procurement	Draft Survey Report is submitted for comment to the AA for Procurement, the Division Directors in the Office of Procurement, and the Team Leaders of the Program Operations Division. In approving the survey report the AA would review the report to ensure that it accurately reflected the survey results as briefed to the Center in the outbriefing above. The AA would also make sure that the final report was balanced and fair in documenting findings and deficiencies and that the recommendations provided to the Center were sound.
6.10	AA for Procurement	AA either approves or requires rework.
6.11	Survey Manager	Resolves comments or issues and resubmits to AA for final approval. Resolution could be accomplished through formal or informal meetings, telecons or email.
6.12	Survey Manager	Revise report if necessary prior to resubmission for final approval. There may be cases where the AA will not approve the report, but when provided with additional data or explanation, will approve the report without revision.
6.13	Survey Manager	Distribute the final report (hardcopy) to the Centers and other interested parties. Evidence of approval by the AA for Procurement, e.g., signature on transmittal letter, initials on transmittal sheet, etc. will be retained as a quality record.
6.14	AA For Procurement	Hold PO briefing concerning Center actions taken to resolve findings/issues as documented in the final survey report. This briefing will be held approximately 6 months after the final survey report is issued. The PO is responsible for scheduling this briefing with the AA. Normally the briefing would provide for closure of all open items. However, if open/action items remain after the briefing, the Survey Manager is responsible

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		for follow up to ensure that the items are eventually closed. Examples of methods of closure would be by telecon, email, formal letter, etc. Closure of all items will be documented through a memorandum(s) by the Survey Manager describing closure action taken. The closure document will be filed with the final survey report.
6.15	Survey Manager	Process complete.

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7. Quality Records

Record Identification	Owner	Location	Record Media: Electronic or Hard Copy	Schedule Number and Item Number (NPG 1441.1)	Retention/Disposition
Letter to Procurement Officer	Survey Manager	Code HS Division Files	Hard Copy	Schedule 5, Item 5 (5100)	Retain until reference value ceases; then destroy
Final Survey Report	Survey Manager	Code HS Division Files	Hard Copy	Schedule 5, Item 5 (5100)	Retain until reference value ceases; then destroy
Evidence of Approval	Survey Manager	Code HS Division Files	Hard Copy	Schedule 5, Item 5 (5100)	Retain until reference value ceases; then destroy
Action Closure Document	Survey Manager	Code HS Division Files	Hard Copy	Schedule 5, Item 5 (5100)	Retain until reference value ceases; then destroy