**Compliance Matrix Description and Instructions** (Adapted from NPR 7120.5F Section 3.5 and Appendix C)

*NPR 7120.5F Effective Date: 8-3-21*

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The Compliance Matrix documents the program or project’s compliance with the requirements of NPR 7120.5F or how the program or project is tailoring the requirements in accordance with Section 3.5 of the NPR. It is submitted as part of the Formulation Agreement, Program Plan, or Project Plan. The Compliance Matrix is provided to streamline the tailoring (waiver and deviation) process and may be used to document approval for designating requirements as non-applicable. If the Compliance Matrix is completed in accordance with these instructions, it meets the requirements for requesting tailoring and for designating requirements as non-applicable and serves as a group submittal for waivers to NPR 7120.5F. Once the Formulation Agreement or Program or Project Plan is signed, tailoring and non-applicable designations are approved. A copy is forwarded to the NASA Chief Program Management Officer (CPMO) and the Office of the Chief Engineer (OCE) for programs and Category 1 projects and to OCE for Category 2 and 3 projects. If the Compliance Matrix changes or if compliance is phased for existing programs or projects, updated versions of the Compliance Matrix are incorporated into an approved Formulation Agreement or Program or Project Plan revision.

**The Compliance Matrix lists:**

1. The paragraph reference.
2. The NPR 7120.5F requirement statement.
3. The “requirement owner” (the organization or individual responsible for the requirement).
4. Whether tailoring authority for the requirement is delegated or held at headquarters.
5. The organization or individual to whom the requirement applies (MDAA, CD, PM).
6. A “comply?” column to describe applicability or intent to tailor.
7. The “justification” column to justify the rationale for tailoring and how tailoring is to be applied.
8. The “approval” column when signatures are required to approve tailoring.

**“Requirement Owner” Column**

This column designates which organization is responsible for maintaining the requirement for the Agency. The head of the requirement owner’s organization has the authority for approving tailoring unless this authority has been formally delegated.

**“Delegated” Column**

This column indicates whether the Headquarters’ requirement owner has delegated or retained approval authority for tailoring of the requirement.

1. “Yes” in the “Delegated” column indicates that tailoring authority has been delegated by the requirement owner.
2. “No” in the “Delegated” column indicates that tailoring authority has been retained by the requirement owner.
3. Check the Agency Tailoring Web site for the point of contact (POC) who can provide the name of the HQ person with tailoring approval authority or the organization to which the authority is delegated.
4. If the “Delegated” column is blank, programs and projects should:

(1) Check the Agency Tailoring Web site for information on delegation by the requirement owner and/or

(2) Check the Agency Tailoring Web site for the HQ requirement owner’s Point-of-Contact (POC) and work with the POC to determine if tailoring authority has been retained or delegated.

**“MDAA,” “CD,” and “PM” Columns**

These columns designate to whom the requirement applies. An “A” in the column indicates applicability. Programs and projects do not need to address requirements that are not applicable to “PM.”

**“Comply?” Column**

This column is filled in by the program or project to identify the program or project’s approach to the requirement. The project inserts an “FC” for “fully compliant,” “T” for “tailored,” or “NA” for a requirement that is “non-applicable”\*.

**“Justification”** **Column**

This column documents the rationale for tailoring, documents how the requirement will be tailored, or justifies why the requirement is not applicable. It is expected that much of the rationale will already have been developed in retrievable program and/or project records and can simply be referenced (in an appropriate, accessible form). The level of documentation should be commensurate with the significance of departure from the norm and is determined by the requirement owner or as delegated. In the case where evaluation indicates that the tailoring of a requirement increases risk, evidence of official acceptance of that risk should be provided as referenced in retrievable program or project records. Columns in the Compliance Matrix can be adjusted to accommodate the necessary information.

**“Approval” Column**

This column is used to indicate approval for tailored requirements. The name, title, and signature of the responsible authority (requirement owner or delegate) in this column indicates that approval and any required concurrences have been obtained. The requirement owner consults with the other organizations that were involved in the establishment of the specific requirement and obtains the concurrence of those organizations having a substantive interest.

1. The name, title, and signature of the responsible authority indicating approval of tailoring is required only for tailored requirements, i.e., those requirements with a “T” in the “Comply” column. This is not required for requirements with “NA” in the “Comply” column.
2. For requirements for which tailoring authority has been retained, program and project managers should work with the HQ requirement owners’ POCs to obtain the names of individuals with tailoring approval authority.
3. For requirements that have been delegated, program and project managers should work with the delegated representative or with the HQ requirement owners’ POCs to obtain information specific to the delegated authorities.
4. Redundant signatures are not required in the “Approval” column of the Compliance Matrix, if the requirement owner is already a required signatory (e.g., MDAA, Center Director, program manager, and project manager) on the Formulation Agreement, Program Plan, or Project Plan. An example of this would be OCE requirements that have been delegated to the Center Director. In this case, a separate signature by the Center Director is not required in the “Approval” column since the Center Director is a signatory on the plan. However, if tailoring was proposed for a requirement by an owner who isn’t normally a signatory on the Formulation Agreement, Program Plan, or Project Plan (e.g., OSMA), the program or project manager should obtain the signature of the approving official in the “Approval” column of the Compliance Matrix prior to submitting the Formulation Agreement, Program Plan, or Project Plan for final signature.

**Additional Information**

Additional information on the Compliance Matrix is available in NPR 7120.5F Appendix C. Additional resources for tailoring are also available elsewhere on this Agency Tailoring Website.

**\*Non-Applicable Requirements**

A prescribed requirement that is not relevant and/or not capable of being applied to a specific program, project, system, or component can be approved as Non-Applicable (NA) by the individual who has been delegated oversight authority by the organization that established the requirement. This approval can be granted at the level where the requirement was specified for implementation (e.g., the project-level ETA could approve an NA designation for an engineering requirement). The request and approval documentation become part of the retrievable program or project records. No other formal deviation or waiver process is required. (See NPR 7120.5F section 3.5.4 and Appendix A for additional information on Non-Applicable requirements.)