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Subject: Manage OSMA use of Headquarters Action Tracking System (HATS)

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REVISION E

Manage OSMA use of Headquarters Action Tracking System (HATS)

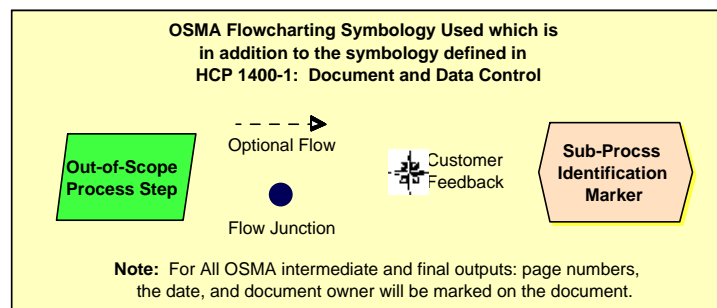Bryan O'Connor
Chief, Safety and Mission Assurance

6 JAN 10
Date

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DOCUMENT HISTORY LOG

Status (Draft/ Baseline/ Revision/ Canceled)	Document Revision	Effective Date	Description
Baseline		January 13, 2000	
Revision	A	September 14, 2000	Modified Section 5 Flowchart and Steps 6.02, 6.03, and 6.04, and made Editorial changes to steps 6.08, 6.09, and 6.10.
	B	February 1, 2002	Added customer list.
	C	March 31, 2004	Editorial and organizational changes to all sections.
	D	January 17, 2006	Updated to new Organization Structure
	E		Editorial changes and process updates in all sections.

HOWI Author: Resources Management Office/Joyce Minor

OSMA Staff Member Responsible for this HOWI: Resources Management Office/Paul Mexcur

Customers for this HOWI: Internal: Chief, SMA

External: none

OSMA Flowcharting Symbology Used which is in addition to the symbology defined in HCP 1400-1: Document and Data Control

Optional Flow

Out-of-Scope Process Step

Flow Junction

Customer Feedback

Sub-Procss Identification Marker

Note: For All OSMA intermediate and final outputs: page numbers, the date, and document owner will be marked on the document.

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1. Purpose

The purpose of this Office of Safety and Mission Assurance (OSMA) Headquarters Office Work Instruction (HOWI) is to document the process to maintain OSMA incoming and outgoing correspondence. OSMA uses the Headquarters Action Tracking System (HATS) to record actions, document action assignments, and document the status of actions from initiation to completion. This HOWI also specifies the Quality Records associated with the process.

2. Scope and Applicability

This OSMA HOWI is applicable to all OSMA staff members.

3. Definitions
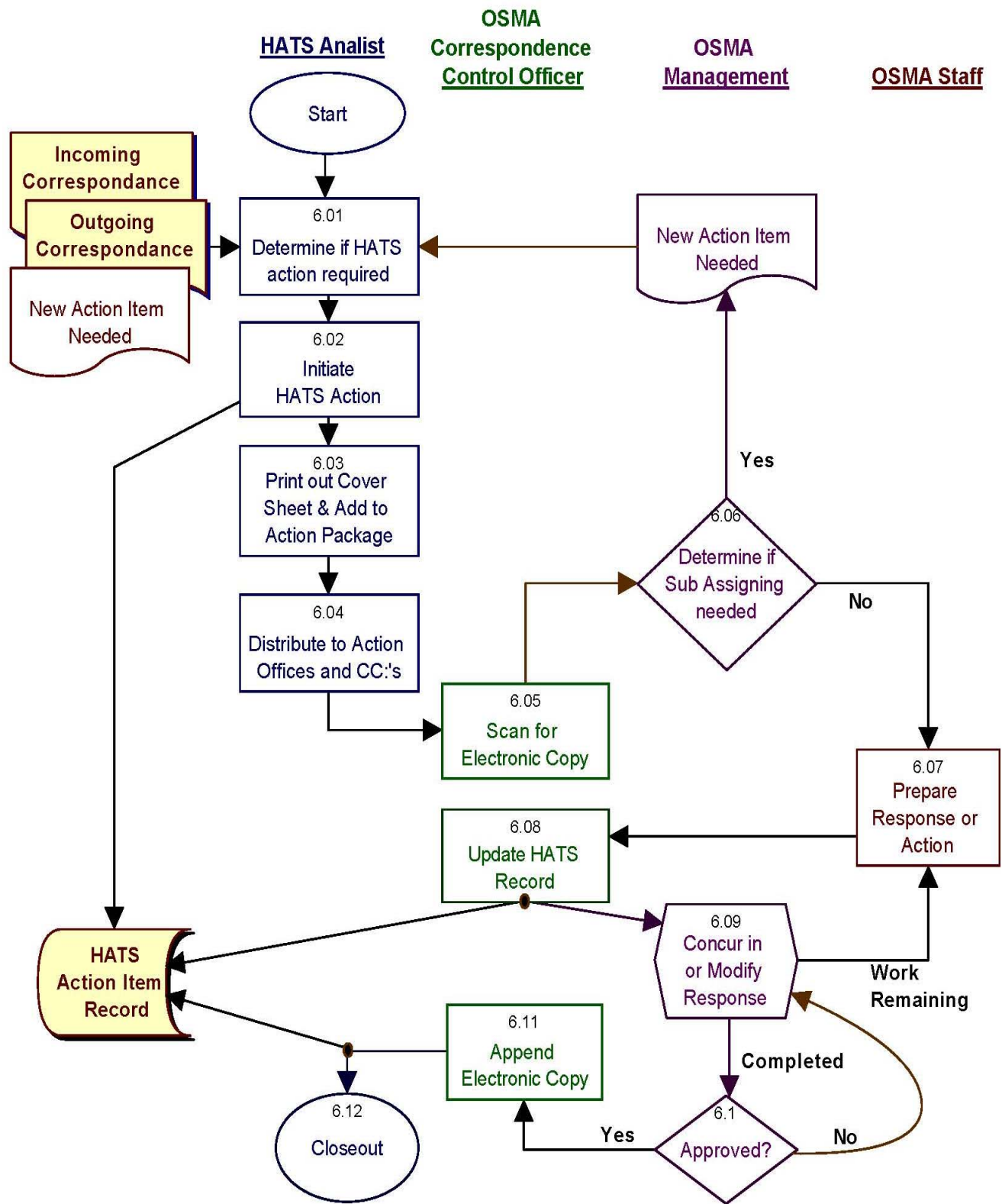
3.1. <u>CC:</u> Carbon Copy

3.2. <u>HATS</u>: NASA Headquarters Action Tracking System.

3.3. <u>HATS analysts:</u> OSMA personnel who have been granted access to the HATS software to initialize or update OSMA HATS records. HATS analysts are: the OSMA front office administrative assistant; the OSMA correspondence control officer; the OSMA directives manager; the secretary, Mission Support Division; and the secretary, Safety and Assurance Requirements Division. (Note: Those actions that are completed only by the OSMA correspondence control officer are annotated as such.)

3.4. <u>Mask</u>: The HATS template for generating a new action item.

3.5. <u>OSMA executives</u>: OSMA executives are the Chief, Safety and Mission Assurance; Deputy Chief, Safety and Mission Assurance; Director, Mission Support Division; Director, Safety and Assurance Requirements Division; Director, NASA Safety Center; Director, NASA Independent Verification and Validation Facility; Director, Resources Management Office; and Senior Safety and Mission Assurance Manager.

4. Reference Documents

The documents listed in this section are used as reference materials for performing the processes covered by the Quality Management System (QMS). Since all NASA Headquarters Level 1 (QMS Manual) and Level 2 (Headquarters Common Processes) documents are applicable to the QMS, they need not be listed in this section unless specifically referenced in this OSMA HOWI.

4.1. National Aeronautics and Space Administration Headquarters Action Tracking System (HATS) Version 4.0 User and Operations Guide, December 4, 2008 (Prepared by InDyne, Inc. Systems Integration Services Group).

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5. Flowchart

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6. Procedure

6.01 HATS Analyst   Determine if HATS action item is required.

Based on analysis of incoming or outgoing correspondence (hardcopy or electronic), or by direction of an OSMA executive, the HATS analyst determines that a new HATS action item is needed.

6.02 HATS Analyst   Initiate the HATS action

Where it is clear from the content of the incoming or outgoing correspondence (hardcopy or electronic), or by direction of an OSMA executive, the HATS analyst determines which OSMA executive should be responsible for the completion of the action. The HATS analyst completes the HATS mask to indicate the author, title, date received, due date, and other information necessary to identify and complete the action.

Note: Where the assignment is not obvious or unique, assistance will be requested to make an appropriate assignment.

Note: If the new action has a quick turnaround or requires immediate attention, the HATS analyst immediately notifies the responsible OSMA executive or designee and provides the information needed to begin working on the task (hardcopy or electronic, whichever is the most expeditious). This primarily occurs when OSMA receives quick response actions from Legislative Affairs or the Office of the Administrator.

Note: If the material needed to perform the action (forms, background data, etc.) is provided to the HATS analyst via e-mail, the HATS analyst will provide the material to the responsible OSMA executive and his HATS analyst via e-mail.

Note: "Due Date" is a required field. If, upon receipt of the action, the OSMA executive or designee believes that the due date is unreasonable, he/she should inform the HATS analyst and provide a more realistic due date. In some instances the due date may not be negotiable, for example, if it was required by an external action office.

Note: HATS has a feature to generate automated e-mail notices when an action status changes; HATS analysts may disable this feature at their discretion.

6.03 HATS Analyst   Print Cover Sheet and Add to Action Package

The HATS analyst prints the cover sheet for the action that includes the data entered in the HATS mask and the unique action identification number that is generated by HATS. The analyst uses the following paper color for the cover sheet:

Generated by	Paper color
OSMA Front Office-Generated Action	Blue
Mission Support Division-Generated Action	Pink
Safety and Assurance	Pink

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Requirements Division-Generated Action	
Correspondence - Info Only (all)	White

When the OSMA correspondence control officer receives and forwards the incoming correspondence via e-mail to the OSMA executive's HATS analyst (secretary), the OSMA executive's HATS analyst (secretary) prints the cover sheet in blue and all other correspondence including enclosures can be printed on white paper.

Note: The correspondence control officer will indicate this instruction in the text of the e-mail to the HATS analyst, along with any other special instructions needed to process the action.

6.04 HATS Analyst   Distribute to Action Offices and CC:'s

The HATS analyst distributes the hard copy of the action to the OSMA executive responsible for completing the action.

6.05 OSMA Correspondence Control Officer   Scan for Electronic Copy

For OSMA front office actions, the OSMA correspondence control officer scans the correspondence and uploads to a .pdf file so that correspondence may be retrieved electronically.

6.06 OSMA Executive Responsible for Completing the Action or Designee   Determine if Sub-Assigning Needed:

When the action is received, the OSMA executive responsible for completing the action (or designee) reviews the action and, if necessary, requests a reassignment or sub-assigns to the actionee. The OSMA executive's HATS analyst (secretary) is responsible for logging the reassignment of the action in HATS.   This allows a HATS user to track the action or find out the progress.

Note: Reassignment is essentially starting a new action item which is why the flowchart shows the process going back to the start.

Note: If the OSMA executive responsible for completing the action does not have a HATS analyst, he may seek assistance from the OSMA correspondence control officer

6.07 Actionee   Prepare Response or Action:

The actionee does whatever is requested by the action item including preparing any correspondence needed for completion of the action and provides the completed action to the OSMA executive responsible for completing the action.

6.08 Actionee's HATS Analyst   Update HATS Record:

Actionee's HATS analyst updates the record as necessary to reflect action status.

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6.09 OSMA Executive Responsible for Completing the Action   Concur in or Modify Response?

> The OSMA executive responsible for completing the action reviews the completed action item and determines if the action is complete or further work is needed. If further work is needed, return to 6.07. If the action is completed, continue to step 6.10.
>
> *Note: If further work is needed, the OSMA executive responsible for completing the action may request an extension to the action due date.*

6.10 OSMA Management   Approved?

> If action closure requires signature or approval from the Chief or Deputy Chief, the HATS analyst for the OSMA executive responsible for completing the action forwards the action package to the OSMA correspondence control officer to obtain final approval or signature. When approved, go to step 6.11 to complete processing. If work remains, return to step 6.07. If no further approval is needed, go to step 6.11.
>
> If action is anything other than signed correspondence (which obviously provides a record of objective evidence for completion that supports closing the action) the OSMA executive responsible for completing the action will create a record such as a memorandum for the record that explains the action taken in response to the assignment and provides objective evidence of the product completed and to whom provided in order to support the recordation of action closed. This will be considered as equivalent to the outgoing correspondence as a record of action complete.

6.11 OSMA Correspondence Control Officer   Append Existing Electronic Copy

> The OSMA correspondence control officer scans the response to action; i.e., comments, response, memo, or e-mail communication to complete the existing electronic action. This allows the entire action to be retrieved electronically.

6.12 HATS Analyst   Closeout:

> Ensure all Correspondence and supporting action item data is filed per the Section 7 Quality Records below. After the distribution is completed, the action should be filed in the correspondence-filing drawer. Actions are filed by each division in their own files.
>
> The HATS analyst ensures that all Quality Records are filed and the HATS record is fully updated and then closes out the process.
>
> *Note: The HATS action will not be logged as closed in the HATS until the closure paperwork has been received by the HATS analyst (for Division-generated actions) or the OSMA correspondence control officer (for front office –generated actions).*

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7. Quality Records

Record ID	Owner	Location	Media Electronic /hardcopy	Schedule Number & Item Number	Retention & Disposition
Incoming Correspondence	OSMA Corres Control	OSMA Chron File	Hardcopy	Schedule: 1 Item: 22	Retire to FRC when 5 years old in 5 year blocks, then retire to NARA when 10 years old
Outgoing Correspondence or Memorandum for Record	OSMA Corres Control	OSMA Chron File	Hardcopy	Schedule: 1 Item: 22	Retire to FRC when 5 years old in 5 year blocks, then retire to NARA when 10 years old
HATS Action Item Record	HATS Admin	W/in HATS	Electronic and Hardcopy	Schedule: 1 Item 78.C	Retain as long as has reference value then delete