

Responsible Office: Code J/Office of Management Systems
Subject: Management Report Preparation Process



Office of Management Systems

Office Work Instruction

Management Report Preparation Process

Original Approved by: _____
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DOCUMENT HISTORY LOG

<u>Status</u> <u>(Baseline/</u> <u>Revision/</u> <u>Canceled)</u>	<u>Document</u> <u>Revision</u>	<u>Effective</u> <u>Date</u>	<u>Description</u>
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1. Purpose

The purpose of this procedure is to document the process used by the Office of Management Systems (Code J) in formulating management reports.

2. Scope and Applicability

This Office Work Instruction (OWI) covers management reports performed in Code J. These reports document the results of Code J work, Agency performance against documented metrics controlled by Code J, and Agency compliance with applicable statutes and regulations in the functional areas for which Code J has Agency-wide responsibility. Reports covered by this OWI are normally prepared on a periodic basis – quarterly, biannually, annually or less frequently. They can be in response to external requirements from the Executive or Legislative Branches of the Federal Government or other Federal Agencies or in response to internal Agency requirements. This OWI does not cover ad hoc inquiries from an outside governmental body or other party.

This instruction applies to Code J personnel involved in the preparation of Code J management reports.

3. Definitions

- 3.1 A. NASA Administrator
- 3.2 AA. Associate Administrator for Management Systems
- 3.3 ADS. Action Document Summary, NASA Form 117 – Form for HQS single letter codes to concur on a document.
- 3.4 AQ. Action Officer
- 3.5 Approving Official. Director and/or designated member of his/her staff whose functional area of responsibility is reflected in the management report. Depending on the specific management report, Signatory Official may be the only Approving Official.
- 3.6 Code J. HQ Office of Management Systems
- 3.7 Form 26. Routing Slip – NASA form to control routing actions among pertinent HQS staff
- 3.8 Director. Division or Office Director
- 3.9 HQS. NASA Headquarters
- 3.10 NPD. NASA Policy Directive – describes the “what” required by NASA management to achieve NASA’s vision and mission (as depicted in the NASA Strategic Plan)

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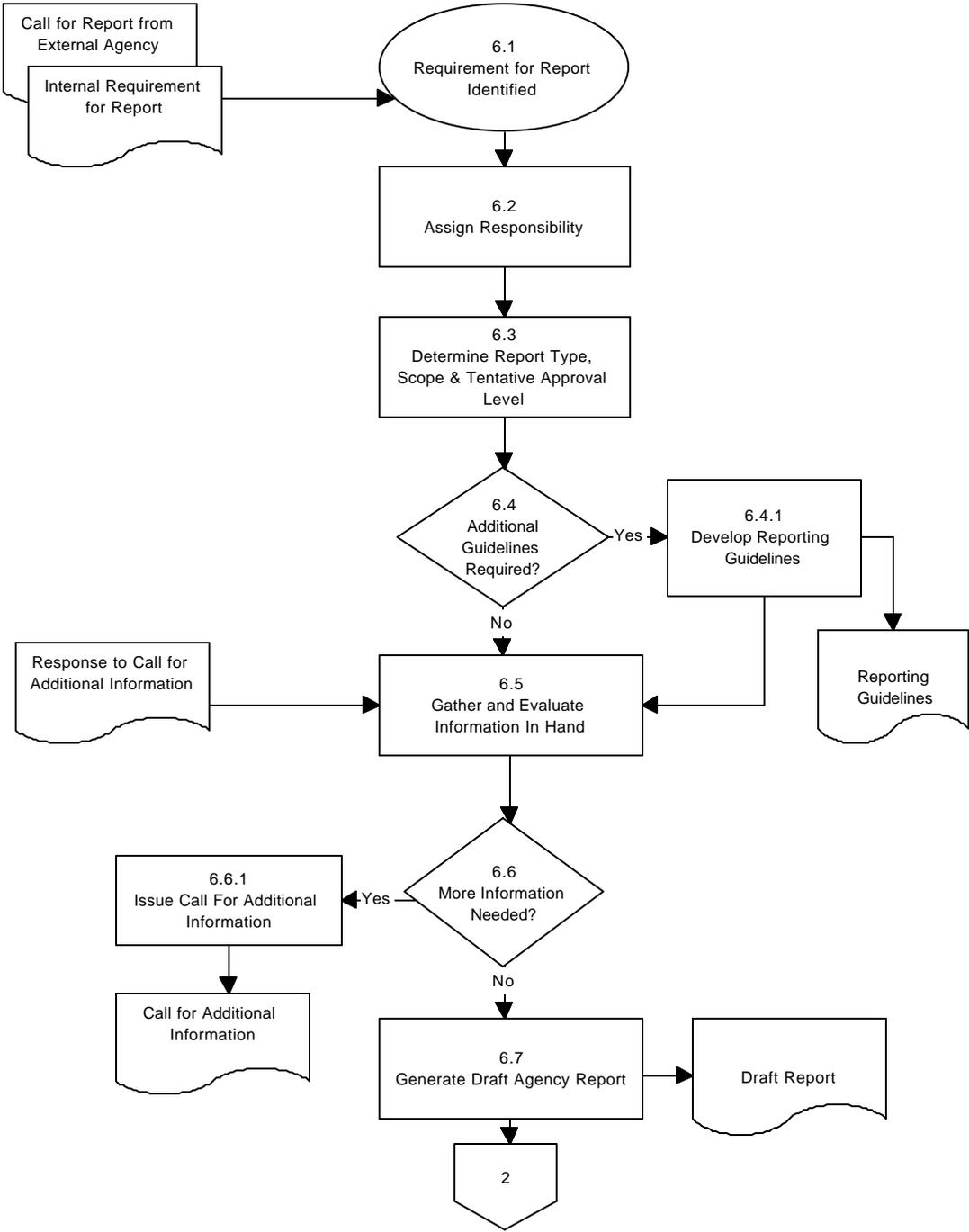
- 3.11 NPG. NASA Procedures and Guidelines – the detailed instructions and guidelines for implementing NASA policy. They are the “how to” instructions and procedures considered essential for accomplishing the deliverable requirements established by the NPD
- 3.12 SO. Signatory Official. The Signatory Official may be the AA, a Director, or other member of the Code J staff as (1) designated in a NASA NPD, NPG, or other NASA document, (2) delegated in writing by the party designated in (1) above, or (3) designated in the external mandate.

4. References

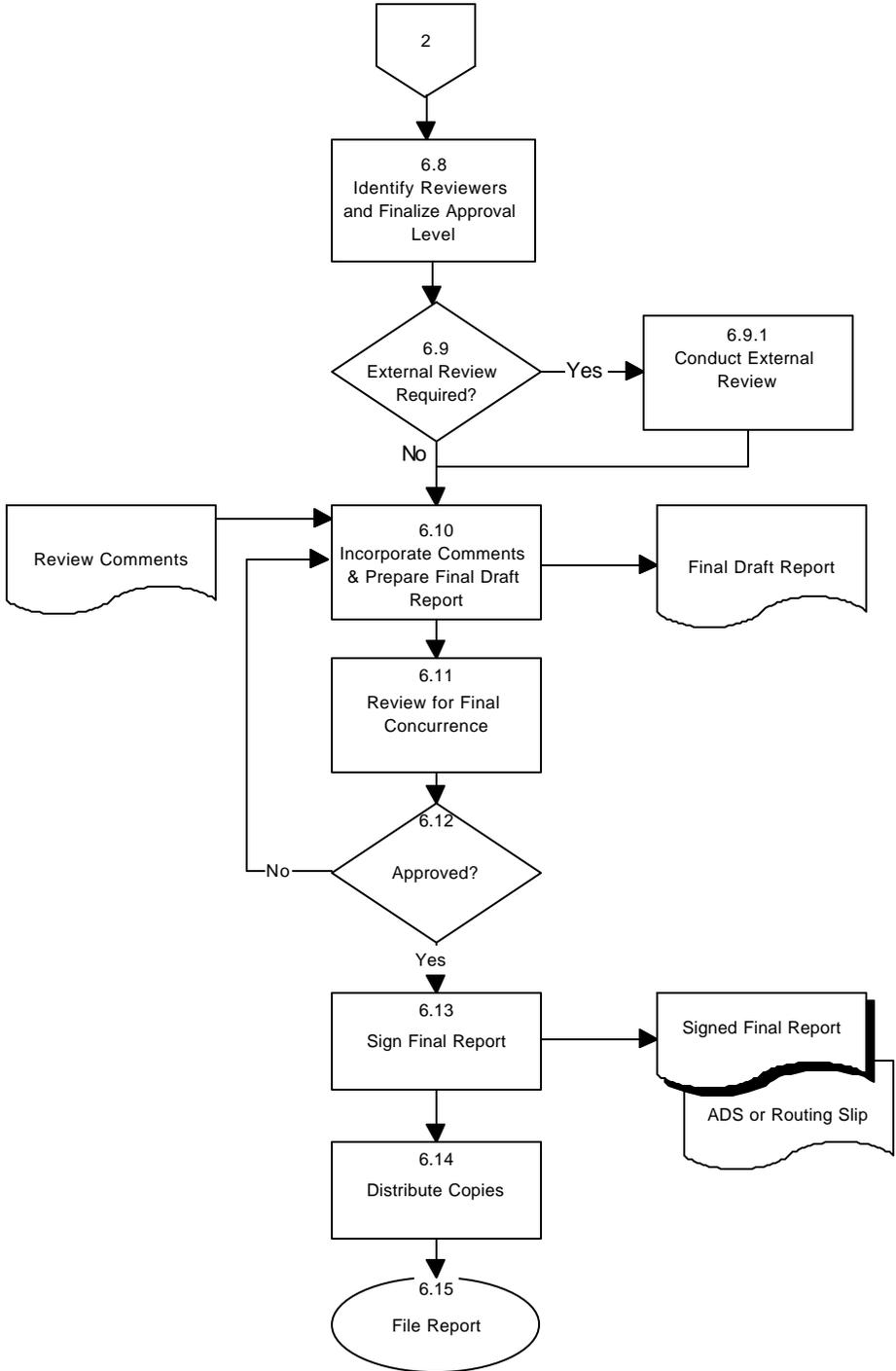
- 4.1 NHB 1101.3 The NASA Organization
- 4.2 NASA Office of Management Systems and Facilities Functional/Staff Office Implementation Plan, May 1998

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5. Flowchart



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6. Procedure

Step	Actionee	Action
6.1	AA, AA Designee, or Code J Staff	Determine whether a report is needed. The need arises if Code J (1) has received an external communication requesting information, (2) a Code J control document (e.g., NPD, NPG, or Operating Plan) calls for the preparation of a report, or (3) external Federal statutory or regulatory requirement.
6.2	Office of the AA or Director	Assign responsibility to an AO for coordinating preparation, review and approval of the report. The assignment may be orally or in writing.
6.3	AO	Review incoming or internal document in order to determine reporting requirements, scope and tentative signature level. SO may be A, AA, Director, or, in certain instances, another designated HQS official.
6.4	AO	Based on identified reporting requirements and incoming or internal document, determine if additional guidelines or information is necessary to generate a valid report. If additional guidance is needed, go to 6.4.1. If no additional guidance is necessary, proceed to 6.5 and gather and evaluate information.
6.4.1	AO	Develop reporting guidelines to clarify any ambiguities and ensure consistency and validity of information gathered.
6.5	AO	Gather and evaluate information available within Code J. This may necessitate coordination and consultation with other staff of AO's or other divisions within Code J.
6.6	AO	Determine if data gathered is adequate and valid to fulfill reporting requirement. If inadequate or invalid, go to 6.6.1. If adequate and valid, go to 6.7.
6.6.1	AO	Solicit information from Code J or other HQS offices, Centers and component facilities. Information may be solicited by written data call, electronically, or by agency-wide interactive databases. Reporting guidelines relevant to the information sought are included in solicitation package.
6.7	AO	Write draft Agency report according to defined requirements and reporting guidelines.
6.8	AO	Identify report reviewers and finalize signature level. Reviewers will be determined based upon potential interest and/or specialized knowledge pertaining to the report. Determine if review by officials outside of Code J is required, based upon potential interest and/or specialized knowledge.

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6.9	AO	If external review is required, go to 6.9.1. If no external review is required, proceed to 6.10.
6.9.1	AO Reviewers	Circulate draft report for review. Review draft report for accuracy and adequacy. Provide comments in hard copy or electronically.
6.10	AO	Determine if changes are warranted based on comments received. To the extent necessary, discuss issues with reviewers. Incorporate comments if they contribute to the adequacy, accuracy, or the reader's understanding of the report. Prepare report for final approval and signature in accordance with Code J protocol. The report includes a summary of major reporting guidelines followed. Determine approving officials based on specialized expertise and whether the report relates to their line or functional offices. Prepare ADS or Form 26 to circulate the report for approval, as appropriate. Where a Form 26 is used, all of the listed officials must be specifically indicated as having a concurrence or signature role.
6.11	Approving Officials	Review report for adequacy and accuracy per reporting requirements.
6.12	Approving Officials	If not accurate or adequate, provide comments to AO. AO goes to 6.11; else indicate approval and transmit to next Approving Official on the ADS or Form 26. Once all approvals have been obtained, go to 6.13. Approvals may be sought concurrently rather than consecutively to conserve time.
6.13	AO SO	Submit to Signatory Official. Sign final report.
6.14	Director or Administrative Assistant	Distribute signed final report, as determined by AO.
6.15	Director or Administrative Assistant	File signed final report in accordance with Code J filing system.

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7. Quality Records

<u>Record Identification</u>	<u>Owner</u>	<u>Location</u>	<u>Record Media: Electronic/ Hard Copy</u>	<u>Schedule Number & Item Number (NPG 1441.1)</u>	<u>Retention/ Disposition</u>
Signed Final Report	Director	Division or Office files	Hard copy	Schedule 1, items 22A and 22B;or external mandate	If signed by AA, permanent. Retire to FRC when 5 years old in 5-year blocks. Transfer to NARA when 10 years old. If signed by a lower official, destroy after 2 years. If the relevant external mandate calls for more stringent records retention, those requirements take precedence.