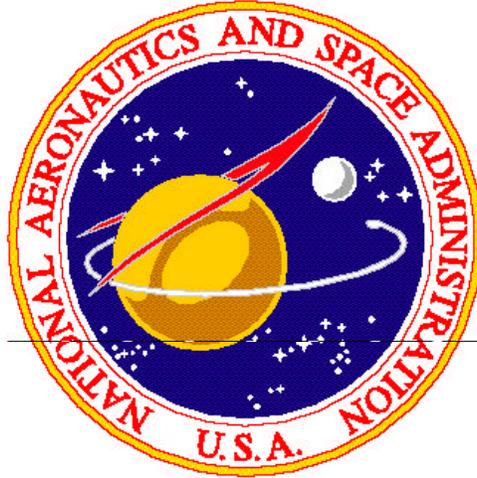


Responsible Office: Code J/Office of Management Systems  
Subject: Functional Oversight Process



Office of Management Systems

Office Work Instruction

## Functional Oversight Process

Original approved by: \_\_\_\_\_  
Jeffrey E. Sutton  
Associate Administrator, Office of Management Systems

Responsible Office: Code J/Office of Management Systems  
Subject: Functional Oversight Process

**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>
Baseline		12/06/99	

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## 1. Purpose

This Functional Oversight Office Work Instruction (OWI) describes the process for identifying, formulating, organizing and conducting Code J oversight activities. The purpose of these oversight activities is to verify compliance with and responsiveness to Federal laws, regulations, policies and requirements; and NASA policies, standards and strategic direction which require formal follow-up and reporting action by Code J staff for the Agency to optimally carry out its mission.

## 2. Scope and Applicability

2.1 This OWI identifies the responsible entities for staffing, planning, and conducting oversight activities. These oversight activities form a part of the Code J responsibility to provide the functional leadership and oversight for management systems, processes, functions and activities Agency-wide. These oversight activities can take the form of: onsite visits to include inspections, spot checks, audits or reviews; or offsite reviews of self-assessment reports.

2.2 This OWI applies to all Code J Divisions and Offices that have an oversight responsibility as promulgated in NPG 1000.2 "NASA Strategic Management Handbook" and implemented in accordance with the "Office of Management Systems and Facilities Functional/Staff Office Implementation Plan"

## 3. Definitions

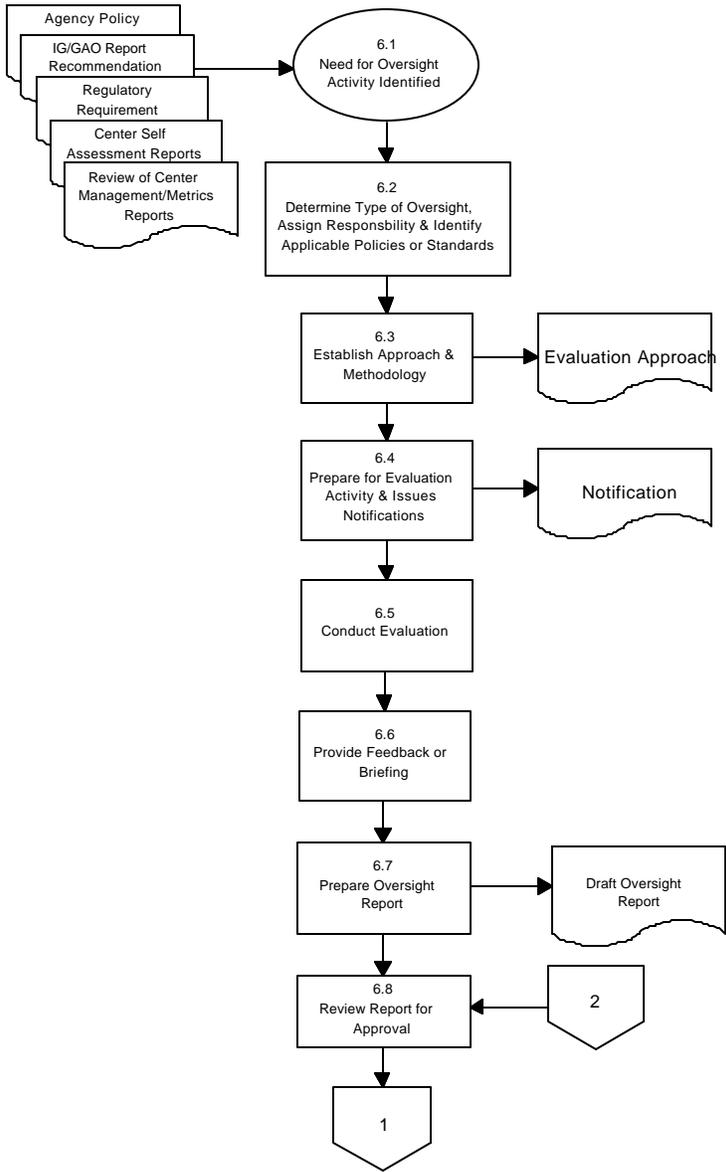
- 3.1 AA. Associate Administrator for Management Systems
- 3.2 Agency policy. NASA Policy Directives, Guidances, and Standards
- 3.3 Code J. Office of Management Systems
- 3.4 Director. Code J Division or Office Director
- 3.5 GAO. Government Accounting Office
- 3.6 OIG. NASA Office of Inspector General

## 4. References

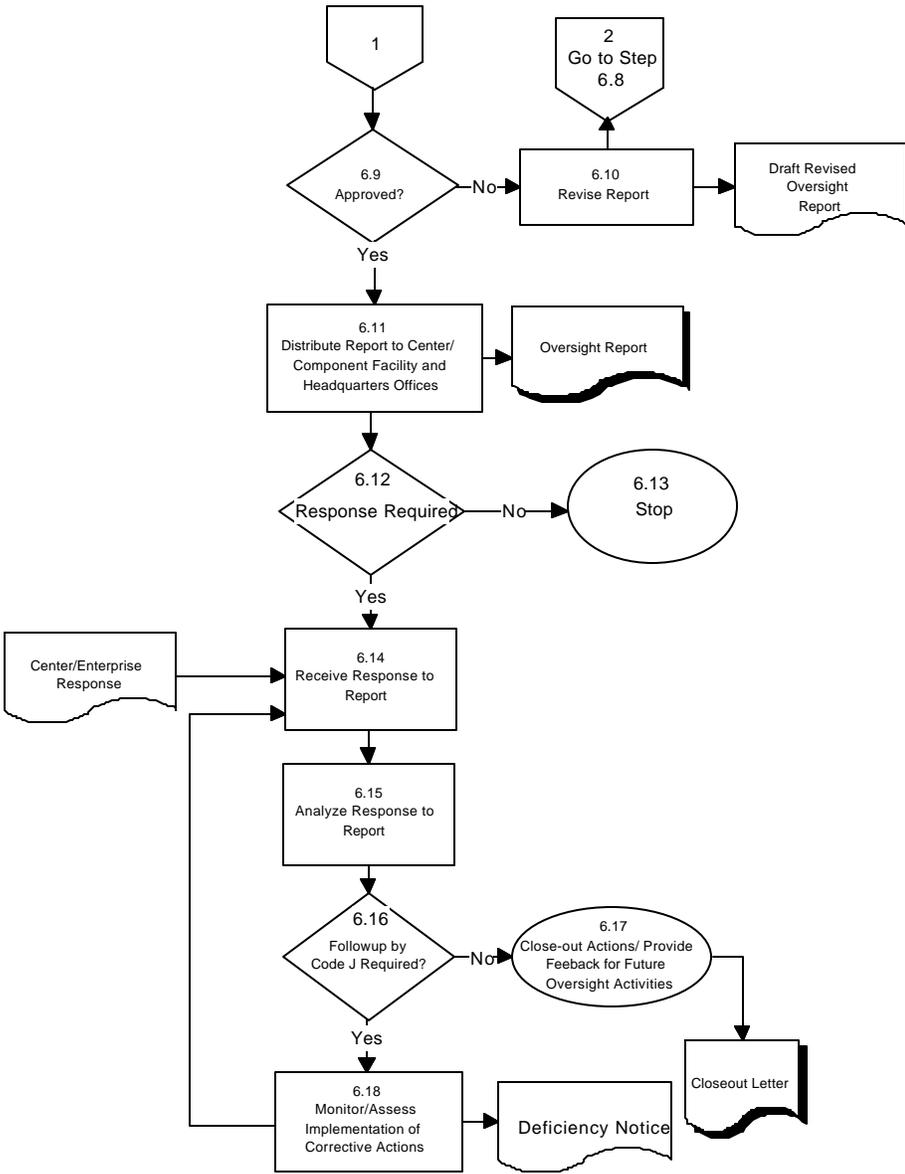
- 4.1 NPG 1000.2 NASA Strategic Management Handbook
- 4.2 May 18, 1998 Office of Management Systems and Facilities Functional/Staff Office Implementation Plan

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5. Flowchart



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## 6. Procedure

Step	Actionee	Action
6.1	Director/AA	Determine the need for an oversight activity triggered by either a routine or periodic requirement as directed by Federal law, regulation, or policy; or NASA directive, guidance or standard.
6.2	Director/AA	Determine the type of oversight required to assess compliance with NASA policy. Identify all relevant policies and standards germane to NASA processes, procedures and operations. Assign an action officer.
6.3	Action Officer	Establish an oversight approach and methodology that best meet the requirements as addressed in Section 6.2 in accordance with the applicable rules that apply to the specific functional area. The Action Officer will document this approach and methodology in the form of an Evaluation Approach that can be made available to all parties involved in the evaluation*. This evaluation plan should also include a retention and disposition plan for the oversight and closeout reports; and a process to monitor and track corrective actions. Oversight approaches and methods fall into two categories, (1) onsite and (2) offsite. (1) Onsite activities include but are not limited to planned spot checks, audits and reviews held at a Center or Component Facility with Headquarters personnel (or staff designated by Headquarters) to validate compliance with Agency policies, standards or procedures. (2) Offsite activities may include but are not limited to self-assessments to evaluate compliance with agency policies, standards or procedures. (Note*: If an Evaluation Approach has been previously established, that meets the oversight requirement, it may be used in lieu of developing a new approach.)
6.4	Action Officer	Prepare for the evaluation activity based on the specific approach and methodology established to perform the oversight function. The Action Officer will also notify all affected parties of the pending evaluation by the most appropriate means. Preparation and execution of the evaluation can involve contractor resources to support development of methods, conduct evaluation, and to perform analyses. Results of onsite functional oversight activities can lead to decision(s) to replace onsite oversight with offsite oversight. On the other hand, offsite functional oversight can identify issues that may require further inspection/review onsite.
6.5	Action Officer	Conduct evaluation as defined by the method and approach established in step 6.3.
6.6	Director	Provide the evaluated Center/Component Facility feedback through briefings (or other suitable means) with a responsible party at the Center/Component Facility. This

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		feedback should discuss findings and recommendations with the affected Center/Component Facility to ensure mutual understanding of all observations. The feedback should be of sufficient detail to leave Center/Component Facility management with an accurate assessment of local activities and a clear understanding of significant findings and recommendations requiring management attention
6.7	Director/Action Officer	Draft a report, memo or other suitable document as warranted by the evaluation scope, recommendation, findings, and corrective actions. The report should address those items that require management attention and also should identify any related activities that are being performed in an outstanding manner to provide context or positive feedback on Center/Component Facility operations. Required actions will cite the specific rule/policy with which the activity is in noncompliance. Depending on the nature of the evaluation, findings and/or recommendations, the report can at the discretion of the Director fulfill the requirement of a closeout letter and not require a response. If designated to include the closeout function, the report should include a provision or statement notifying the Center/Component Facility that no response is required to the report.
6.8	Director	Review the report for final approval.
6.9	Director/ AA	Approve report.
6.10	Action Officer	If the Director/AA does not approve the report, revise the report.
6.11	Action Officer/ Correspondence Clerk	Distribute the report to the Center/Component Facility and Headquarters Offices associated with the evaluation.
6.12	Action Officer	If response required go to step 6.14 or if no response required go to step 6.13.
6.13	Action Officer	Stop.
6.14	Director/AA	In the case that the oversight report requires a response from the Center/Component Facility, the Director or AA will receive a response from the evaluated Center/ Component Facility addressing the recommendations, findings and corrective actions based on the oversight report or deficiency notice.
6.15	Action Officer	Review and analyze the Center/ Component Facility response for adequacy and responsiveness to required corrective actions. Provide recommendation to Director.
6.16	Director	Determine if follow-up action is necessary.
6.17	Director/Action Officer	If all actions are completed, Action Officer closeout this review and report with a closeout letter, or other suitable correspondence as determined by the Director, to the

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		Center/ Component Facility with a copy to the appropriate Institutional Program Office. The closeout report or correspondence should include a provision or statement notifying the Center/ Component Facility that no further response is required.
6.18	Action Officer	If follow-up action is required, monitor, track and assess implementation of corrective actions as defined in the Evaluation Approach. Notify the Center/ Component Facility and responsible Institutional Program Office through a deficiency notice of any deficiencies and corrective actions that are required to be completed based on the response to the oversight report.

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## 7. Quality Records

Record Identification	Owner	Location	Record Media: Electronic or Hard Copy	Schedule Number & Item Number (NPG 1441.1)	Retention/Disposition
Oversight Report	Code J Director	Code J Director File	Hardcopy	Schedule 1 Item 22A	*Permanent* Retire to FRC when 5 years old in 5 year blocks. Transfer to NARA when 10 years old.
Closeout Letter	Code J Director	Code J Director File	Hardcopy	Schedule 1 Item 22A	*Permanent* Retire to FRC when 5 years old in 5 year blocks. Transfer to NARA when 10 years old.