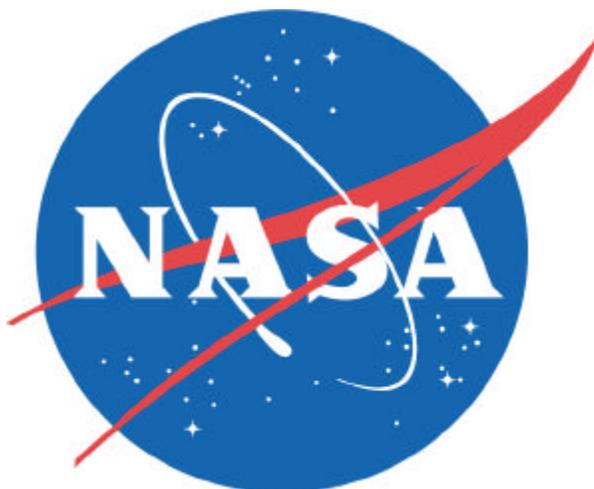


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**Subject: Tracking HATS Action Items Issued to the  
Associate Administrator for Space Science**

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**NASA Headquarters  
Office of Space Science (OSS)**

**Office Work Instruction**

**Tracking HATS Action Items Issued to the  
Associate Administrator for Space Science**

Approved by: (Original signed by Dr. Earle K. Huckins) Date: (11/16/1999)  
Dr. Earle K. Huckins  
Deputy Associate Administrator for Space Science

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### DOCUMENT HISTORY LOG

STATUS (BASELINE/ REVISION/ CANCELED)	DOCUMENT REVISION	EFFECTIVE DATE	DESCRIPTION
Baseline		02/04/1999	<ul style="list-style-type: none"> <li>• Initial "baseline" version of the OWI.</li> </ul>
Revision	A	05/10/1999	<ul style="list-style-type: none"> <li>• Incorporates modifications responsive to NCRs #293, #302, #311, #315, #317, and #324 from the NASA HQ ISO-9001 Pre-Assessment audit.</li> </ul>
Revision	B	11/16/1999	<ul style="list-style-type: none"> <li>• Restructures process in Section 6 into more numerous, discrete steps.</li> <li>• Incorporates roles of SSE Headquarters Local Administrator (HLA) for HATS and Deputy Associate Administrator (DAA) for Space Science in Section 6.</li> <li>• Clarifies role of specific Action Officers in Section 6.</li> <li>• Clarifies SSE access control to HATS information in Section 6.</li> <li>• Clarifies "review" and "approval" activities in Section 6.</li> <li>• Clarifies how HATS due dates are allowed to be extended in Section 6.</li> <li>• Clarifies escalation process for unmet HATS due dates in Section 6.</li> <li>• Clarifies list of SSE personnel who receive notification of unmet HATS due dates in Section 6.</li> <li>• Clarifies vague terminology (e.g., "appropriate") in Section 6.</li> <li>• Incorporates information concerning "interim responses" in Section 6.</li> <li>• Revises mapping of quality record to NPG 1441.1 in Section 7.</li> <li>• Incorporates recent terminology and format standardization.</li> </ul>

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## **Subject: Tracking HATS Action Items Issued to the Associate Administrator for Space Science**

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**1. PURPOSE**      The purpose of this Office Work Instruction (OWI) is to provide general direction in tracking action items issued to the Associate Administrator (AA) for Space Science via the NASA Headquarters Action Tracking System (HATS).

### **2. SCOPE AND APPLICABILITY**

2.1                      The OSS mission is to understand our cosmic origins and destiny and how these are linked by the cycles of evolution. OSS objectives also address how NASA can utilize knowledge of the Sun, Earth, and other planetary bodies to improve the quality of life on Earth. Action items are received by the AA for Space Science for subject matters related to the Space Science mission.

### **3. DEFINITIONS**

3.1                      AA. Associate Administrator for Space Science.

3.2                      CCA. OSS Correspondence Control Assistant.

3.3                      CCO. NASA Headquarters Correspondence Control Office.

3.4                      Code A. NASA Headquarters Office of the Administrator.

3.5                      Code CIC. NASA Headquarters Correspondence Management Office.

3.6                      HATS. NASA Headquarters Action Tracking System.

3.7                      HLA. Headquarters Local Administrator for HATS.

3.8                      OSS. NASA Headquarters Office of Space Science.

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**Subject: Tracking HATS Action Items Issued to the Associate Administrator for Space Science**

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**4. REFERENCES**

- |      |                          |  |
|------|--------------------------|--|
| 4.1  | ANSI/ISO/ASQC Q9001-1994 | American National Standard, Quality Systems -- Model for Quality Assurance in Design, Development, Production, Installation, and Servicing |
| 4.2  | HCP1280-2                | Corrective and Preventive Action   |
| 4.3  | HCP1280-3                | Internal Quality Audits  |
| 4.4  | HCP1400-1                | Document and Data Control  |
| 4.5  | HCP3410-4                | Employee Training  |
| 4.6  | HQPC1150.1               | NASA Headquarters Quality Council Policy Charter   |
| 4.7  | HQSM1200-1               | NASA Headquarters Quality System Manual  |
| 4.8  | NHB 1101.3               | NASA Organization Handbook   |
| 4.9  | NPD 1000.1               | NASA Strategic Plan  |
| 4.10 | NPD 8730.3               | NASA Quality Management System Policy (ISO 9000)   |
| 4.11 | NPG 1441.1               | NASA Records Retention Schedules (NRRS)  |
| 4.12 |                          | NASA Correspondence Standards  |
| 4.13 |                          | U.S. Government Printing Office Style Manual   |

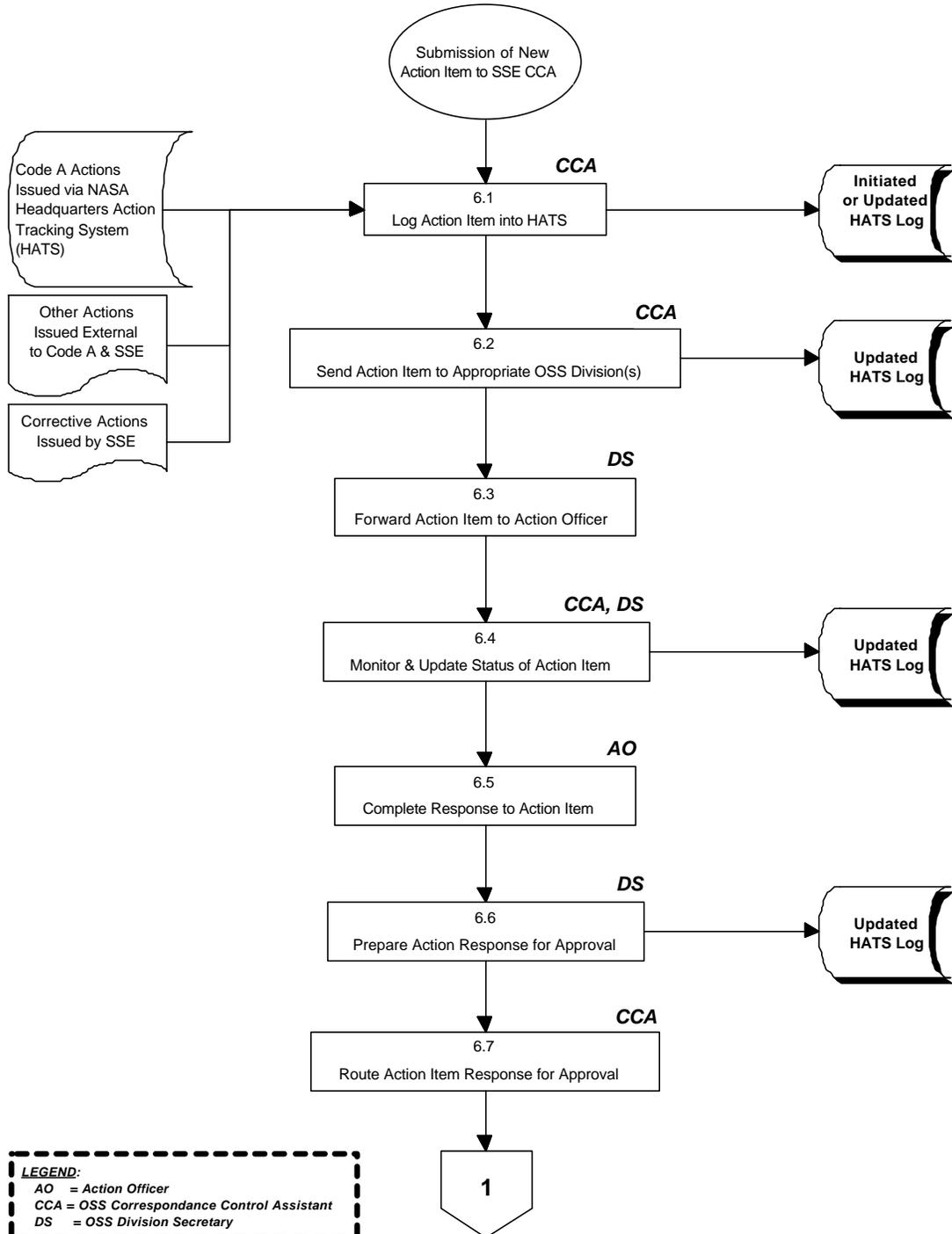
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**5. FLOWCHART**

[NOTE #1: "Quality records" are identified via shadowing of their ANSI symbols.]

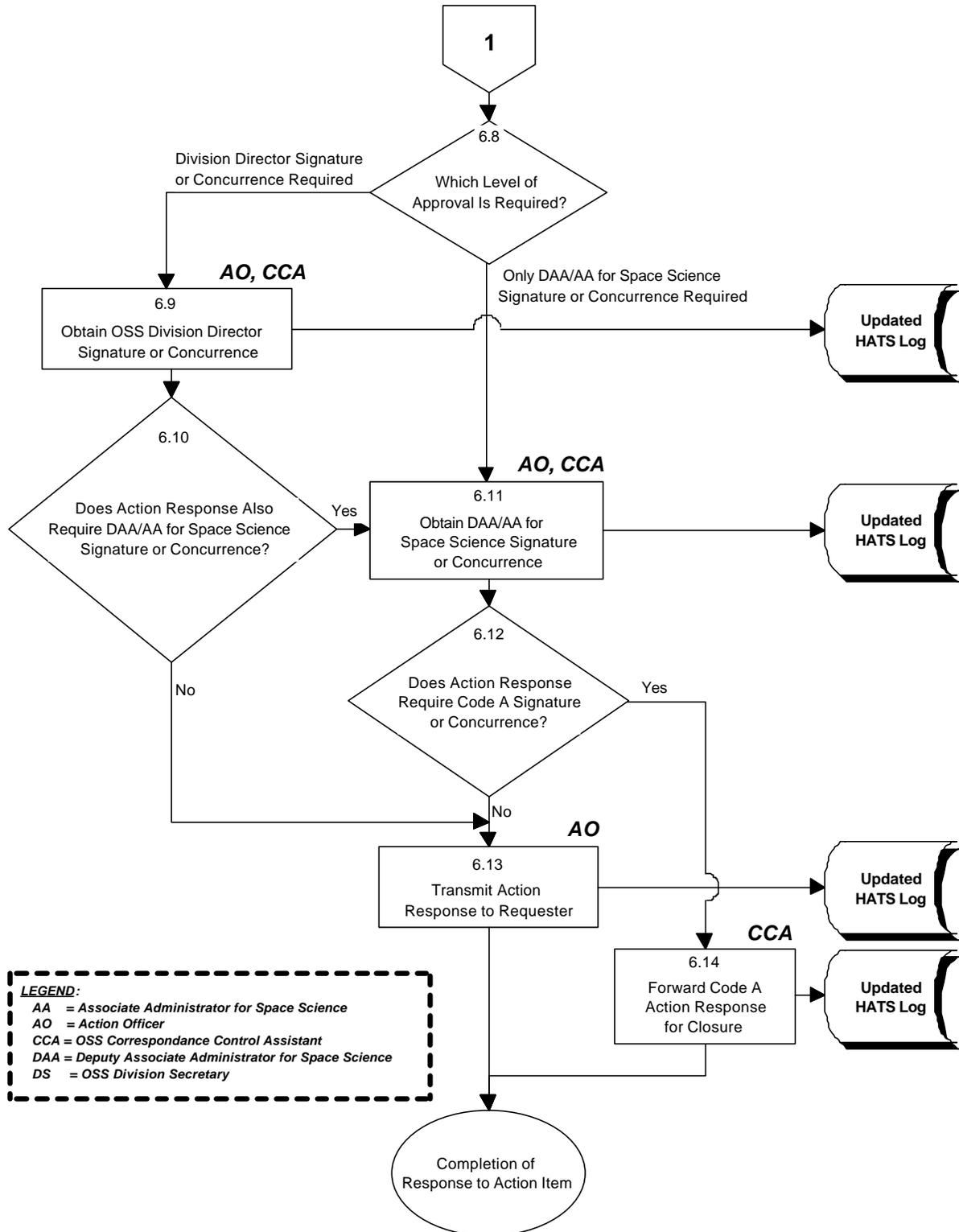
[NOTE #2: Process steps are numbered in accordance with their corresponding paragraph numbers in Section 6.]



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**LEGEND:**  
 AA = Associate Administrator for Space Science  
 AO = Action Officer  
 CCA = OSS Correspondance Control Assistant  
 DAA = Deputy Associate Administrator for Space Science  
 DS = OSS Division Secretary

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### 6. PROCEDURE

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
		<i>[This process commences when a new action item is submitted to the Space Science Enterprise (SSE) Correspondence Control Assistant (CCA) to be tracked via the NASA Headquarters Action Tracking System (HATS).]</i>
6.1	CCA	The CCA receives the action item and updates or initiates an action log in HATS, referencing the originating point of action. <i>[The CCA has electronic access to the level of HATS assigned to the AA for Space Science. The SSE Headquarters Local Administrator (HLA) for HATS can grant this electronic access to other SSE personnel via a "proxy" arrangement.]</i>
		Based upon subject matter, the CCA determines: (a) the cognizant OSS Division(s) for responding to the action item; (b) the individual responsible for the subject matter (i.e., the Action Officer); (c) who should sign the response to the action item; and (d) the due date of the action item (if not pre-specified in the action item).
6.2	CCA	The CCA sends the action item to the cognizant OSS Division Secretary.
6.3	OSS Division Secretary	The OSS Division Secretary updates the existing action log in HATS (if that Division uses HATS) and forwards the action item to the Action Officer.
6.4	CCA, OSS Division Secretary	The CCA and the cognizant OSS Division Secretary track the progress of the action item via prompting HATS. <i>[If the action item requires significant time to address, an "interim response" is sometimes provided to the initiator of the action item to indicate that progress is being made.]</i>

The specified due date for the action item may be modified under the following circumstances: (a) if the action item has been issued initially to Code A and then delegated to OSS, the

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CCA may request an extension of the due date from Code CIC; (b) if the action item has been issued by another Office at NASA Headquarters (other than Code A), the Action Officer may arrange for that Office to notify the CCA of an extended due date; or (c) if the action item has been issued by OSS, the Action Officer may request the CCA to extend the due date. The decision of whether to extend the due date is the prerogative of the owner of the action item.

The CCA distributes an Overdue Action Report weekly to all OSS Action Officers, their Division Secretaries, AA, DAA, and OSS Chief of Staff. HATS sends automatic E-mail notifications of overdue actions to the appropriate Action Officers' Division Secretaries. The AA for Space Science reviews a weekly summary of open, due-soon, and overdue actions and speaks directly to the cognizant Action Officer and/or Division Director to ensure appropriate closure of action items.

The CCA updates the HATS Progress Notes feature, and HATS automatically sends an E-mail notification to the Action Officer whenever any of the following data fields are modified: "Due Date", "Submitted", "Concurred", "Signed", "Progress Notes", "Status", and "Closed".

- |     |                        |  |
|-----|------------------------|--|
| 6.5 | Action Officer         | The Action Officer provides the completed action-item response to the OSS Division Secretary.  |
| 6.6 | OSS Division Secretary | The OSS Division Secretary reviews the response for accuracy and format, prepares the final version of it, updates the HATS log (if HATS is used by that Division), and obtains appropriate concurrences (per the subject matter of the action) prior to forwarding the record to the CCA. |
| 6.7 | CCA                    | The CCA routes the action item for approval by an OSS Division Director and/or the DAA or AA for Space Science (as appropriate, per the content of the action item).   |
| 6.8 |                        | If signature or written concurrence is required by an OSS Division Director, proceed to Step #6.9. If signature or written concurrence is required by <i>only</i> the DAA or AA for Space Science, proceed to Step #6.11.  |

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- 6.9 Action Officer CCA The Action Officer obtains a signed copy of the action-item response from the cognizant OSS Division Director and provides it to the CCA. The CCA then updates the HATS log.
- 6.10 If the action-item response also requires signature or written concurrence by the DAA or AA for Space Science, proceed to Step #6.11. If not, proceed to Step #6.13.
- 6.11 Action Officer CCA The Action Officer routes the action-item response to the CCA for review. The CCA then forwards the action-item response to the DAA or AA for Space Science (or designee) for signature or written concurrence.
- 6.12 If the action-item response also requires signature by the NASA Administrator (Code A), proceed to Step #6.14. If not, proceed to Step #6.13.
- 6.13 Action Officer After obtaining the appropriate OSS Division Director and/or DAA or AA for Space Science (or designee) signature or written concurrence, the Action Officer transmits the action-item response to the requester.
- 6.14 CCA If the action-item response requires the signature of the NASA Administrator (Code A), the CCA forwards the action-item response to the Administrator's CCO for processing and then updates the HATS log. *[The action item is then closed in HATS by the Administrator's CCO.]*

*[This process concludes when the response to the action item has been completed and the final status has been entered into HATS.]*

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### 7. QUALITY RECORDS

RECORD IDENTIFICATION	OWNER	LOCATION	MEDIA: ELECTRONIC OR HARDCOPY	NPG 1441.1 SCHEDULE NUMBER AND ITEM NUMBER	RETENTION/ DISPOSITION
Updated HATS Log	SSE CCA	HATS server	Electronic	Schedule 1, Item 78C	Destroy or delete when no longer needed.

[NOTE #1: These "quality records" are identified in Section 5 ("Flowchart") of this OWI via shadowing of their ANSI symbols.]

[NOTE #2: In accordance with NPG 1441.1 NASA Records Retention Schedules, "... installations' office of primary responsibility will maintain one official record copy ...; reference copies may be maintained for related work". Therefore, the "Retention" and "Disposition" aspects of quality records apply only to the one official record copy of each quality record.]

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