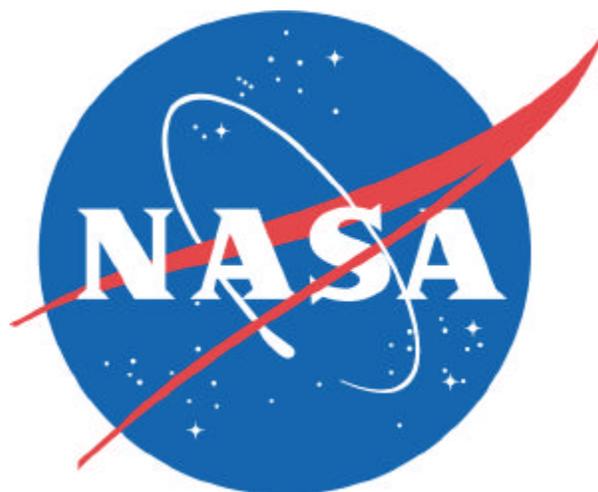


Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]
Policy and Business Management Office [Code SB]

**Subject: Code SB Processing of HATS Action Items Issued
to the Associate Administrator for Space Science**



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

Office Work Instruction

**Code SB Processing of HATS Action Items Issued to
the Associate Administrator for Space Science**

Approved by: (Original signed by Dr. Edward J. Weiler) Date: (11/07/2000)
Dr. Edward J. Weiler
Associate Administrator for Space Science

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]
Policy and Business Management Office [Code SB]

11/07/2000

Subject: Code SB Processing of HATS Action Items Issued to the Associate Administrator for Space Science

DOCUMENT HISTORY LOG

STATUS (BASELINE/ REVISION/ CANCELED)	DOCUMENT REVISION	EFFECTIVE DATE	DESCRIPTION
Baseline		02/04/1999	<ul style="list-style-type: none"> Initial "baseline" version of the OWI.
Revision	A	05/10/1999	<ul style="list-style-type: none"> Incorporates modifications responsive to NCRs #293, #302, #311, #315, #317, and #324 from the NASA HQ ISO-9001 Pre-Assessment audit.
Revision	B	11/16/1999	<ul style="list-style-type: none"> Restructures process in Section 6 into more numerous, discrete steps. Incorporates roles of SSE Headquarters Local Administrator (HLA) for HATS and Deputy Associate Administrator (DAA) for Space Science in Section 6. Clarifies role of specific Action Officers in Section 6. Clarifies SSE access control to HATS information in Section 6. Clarifies "review" and "approval" activities in Section 6. Clarifies how HATS due dates are allowed to be extended in Section 6. Clarifies escalation process for unmet HATS due dates in Section 6. Clarifies list of SSE personnel who receive notification of unmet HATS due dates in Section 6. Clarifies vague terminology (e.g., "appropriate") in Section 6. Incorporates information concerning "interim responses" in Section 6. Revises mapping of quality record to NPG 1441.1 in Section 7. Incorporates recent terminology and format standardization.
Revision	C	11/07/2000	<ul style="list-style-type: none"> Incorporates change in Action Officer from "Correspondence Control Assistant (CCA)" to "Code SB Program Support Specialist (PSS)". Clarifies restriction in scope of OWI to processing of actions by Code SB in Section 2 and via revised OWI title, gray-shaded boxes in Section 5, and gray-shaded text in Section 6. Updates list of definitions in Section 3. Updates inputs to boxes in Section 5. Adds "Open/Overdue Action Status" as a quality record in Section 5 and Section 7. Clarifies role of HATS "Progress Notes" and "Comments" in Section 6. Further clarifies how HATS due dates are allowed to be extended in Section 6. Incorporates processing of action items resulting from Code AE quarterly meetings in Section 6. Coordinates terminology and methodology with HOWI1450-C009C "Correspondence Management" (effective date of 05/15/2000). Updates quality-record "Retention/Disposition" information in Section 7 in accordance with the 07/31/2000 update to NPG 1441.1C.

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]
Policy and Business Management Office [Code SB]

11/07/2000

Subject: Code SB Processing of HATS Action Items Issued to the Associate Administrator for Space Science

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

2. SCOPE AND APPLICABILITY

2.1 Action items are received by the Associate Administrator for Space Science for subject matters related to the Space Science Enterprise's mission.

2.2 This OWI applies only to processing by the OSS Code SB Program Support Specialist (PSS) of action items that are issued to the Associate Administrator for Space Science via HATS. It is not a "global" description of the various methodologies employed by the OSS Divisions to track, respond to, and approve action items assigned to their personnel.

3. DEFINITIONS

3.1 AA. Associate Administrator for Space Science.

3.2 CCO. NASA Headquarters Correspondence Control Office.

3.3 Code A. NASA Headquarters Office of the Administrator.

3.4 Code AE. NASA Headquarters Office of the Chief Engineer.

3.5 Code CIC. NASA Headquarters Correspondence and Mail Communications Management Office.

3.6 Code SB. OSS Policy and Business Management Office.

3.7 DAA. Deputy Associate Administrator for Space Science.

3.8 HATS. NASA Headquarters Action Tracking System (an electronic database).

3.9 HLA. Headquarters Local Administrator for HATS.

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]
Policy and Business Management Office [Code SB]

11/07/2000

Subject: Code SB Processing of HATS Action Items Issued to the Associate Administrator for Space Science

- 3.10 OSS. NASA Headquarters Office of Space Science.
- 3.11 PSS. OSS Code SB Program Support Specialist, whose duties include fulfilling the roles of Correspondence Control Liaison (CCL), Quality Control Liaison (QCL), and HLA for Code SB.
- 3.12 SSE. NASA Space Science Enterprise.

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 Quality System 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 NPG 1450.10 NASA Correspondence Management and
Communications Standards and Style

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]
Policy and Business Management Office [Code SB]

**Subject: Code SB Processing of HATS Action Items Issued
to the Associate Administrator for Space Science**

4.13

U.S. Government Printing Office Style Manual

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]
 Policy and Business Management Office [Code SB]

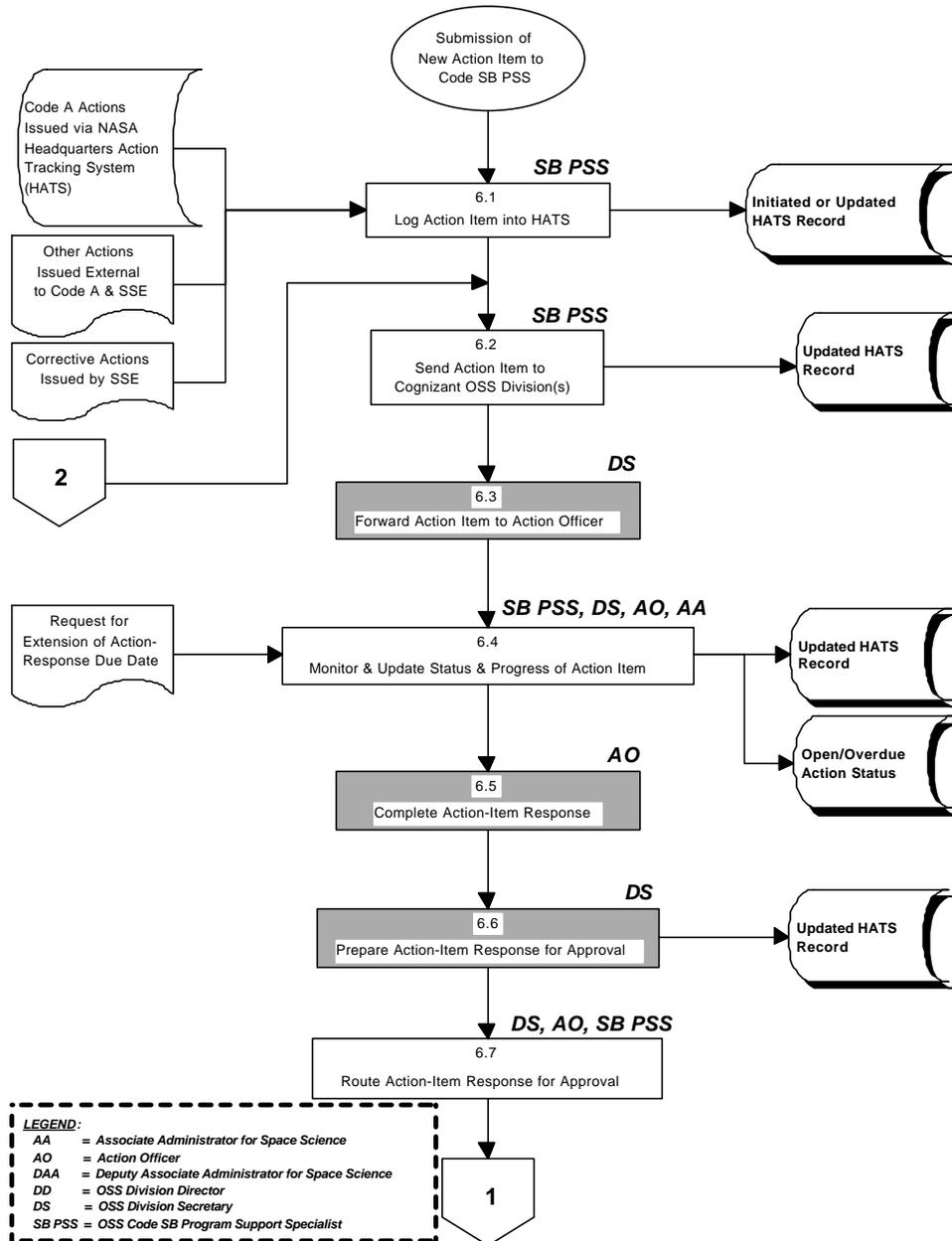
Subject: Code SB Processing of HATS Action Items Issued to the Associate Administrator for Space Science

5. FLOWCHART

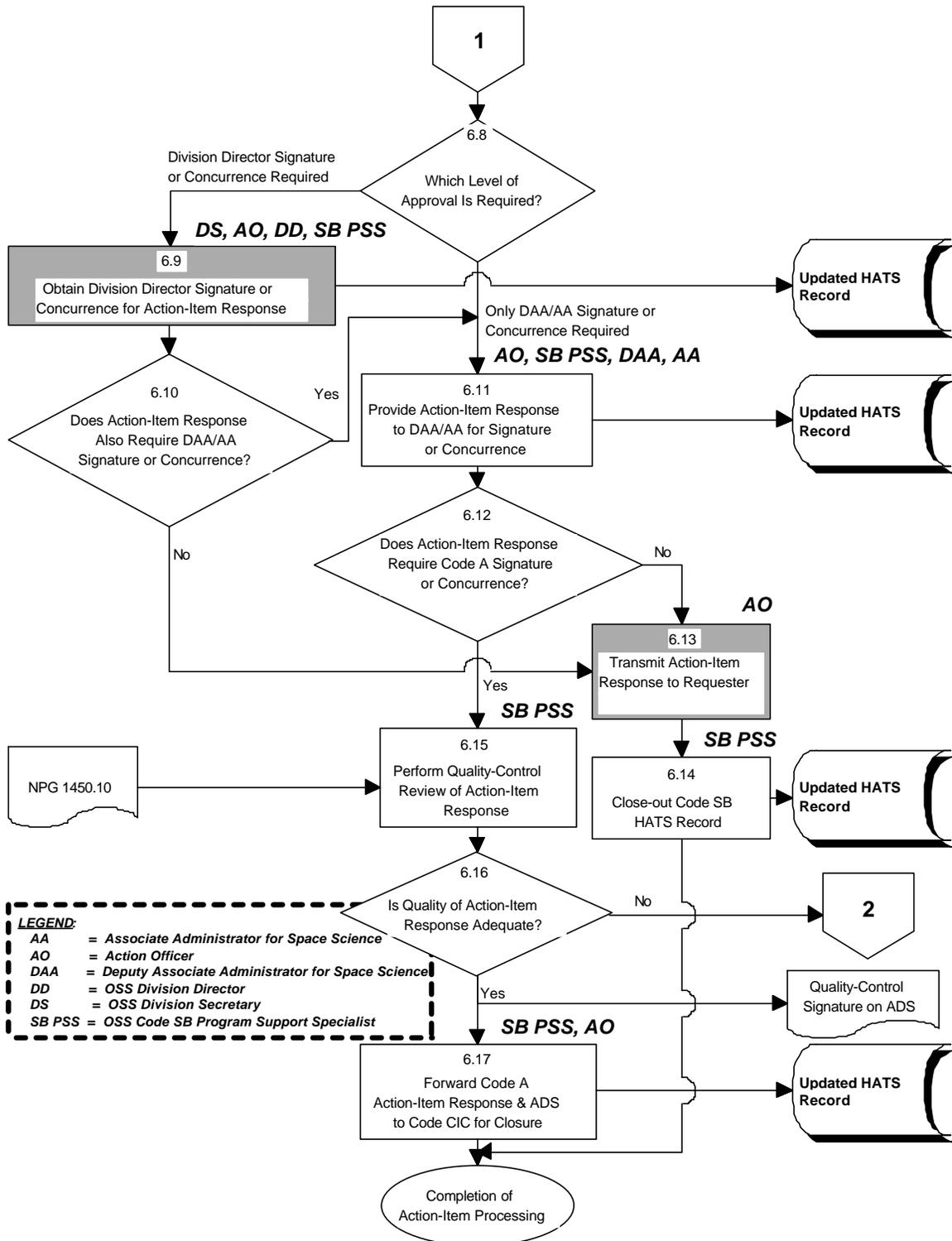
[NOTE #1: Process steps are numbered in accordance with their corresponding paragraph numbers in Section 6.]

[NOTE #2: "Quality records" are identified via bold-text titles and shadowing of the border of their symbols.]

[NOTE #3: Activities that are beyond the scope of the role of Code SB are identified via gray-shading of the interior of their symbols.]



Subject: Code SB Processing of HATS Action Items Issued to the Associate Administrator for Space Science



Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]
Policy and Business Management Office [Code SB]

11/07/2000

Subject: Code SB Processing of HATS Action Items Issued to the Associate Administrator for Space Science

6. PROCEDURE

[NOTE #1: *Gray-shaded* text indicates activities within the overall process that are performed to accomplish response to and approval of action items but are outside the scope of this OWI (which is restricted to the processing by Code SB of action items issued to the Associate Administrator for Space Science via HATS).]

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
		<i>[This process commences when a new action item that has been issued to the Associate Administrator for Space Science is submitted to the OSS Code SB Program Support Specialist (PSS) via the NASA Headquarters Action Tracking System (HATS).]</i>
6.1	Code SB PSS	The Code SB PSS receives the action item and initiates or updates a HATS (electronic) record, referencing the originating point of action. <i>[The Code SB PSS has electronic access to the level of HATS assigned to the Associate Administrator 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 Code SB PSS 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). The Code SB PSS records any special instructions associated with the action item in the "Comments" field of its HATS record.
6.2	Code SB PSS	The Code SB PSS sends the action item to the cognizant OSS Division(s).
6.3	OSS Division Secretary	The OSS Division Secretary updates the existing HATS record (if that Division uses HATS) and forwards the action item to the Action Officer.

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]
Policy and Business Management Office [Code SB]

11/07/2000

Subject: Code SB Processing of HATS Action Items Issued to the Associate Administrator for Space Science

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
6.4	Code SB PSS OSS Division Secretary Action Officer AA	<p>The Code SB PSS and the cognizant OSS Division Secretary track the status and progress of the action item via prompting HATS. [If the action item requires significant time to address, the Action Officer sometimes provides an “interim response” to the initiator of the action item to indicate that progress is being made.]</p> <p>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 the Associate Administrator for Space Science, the Code SB PSS 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 request that Office to grant him/her an extension of the due date, and then the Action Officer will notify the Code SB PSS of the extended due date; (c) if the action item has been issued by the Associate Administrator for Space Science, the Action Officer may request the Code SB PSS to extend the due date; or (d) if the Code SB PSS receives an action item <u>after</u> the due date specified by that action item, the Code SB PSS obtains an extension of the due date from the originator of the action item and enters the new due date during the initial log-in of the action item into HATS. The decision of whether to extend the due date is the prerogative of the owner of the action item. The Code SB PSS documents extended due dates via manual entries in the “Progress Notes” feature of the HATS record.</p>

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]
Policy and Business Management Office [Code SB]

11/07/2000

Subject: Code SB Processing of HATS Action Items Issued to the Associate Administrator for Space Science

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
6.4 (concluded)	Code SB PSS OSS Division Secretary Action Officer AA	<p>HATS sends automatic E-mail notifications of “due-soon” and “overdue” actions to the cognizant Action Officers’ Division Secretaries. The Code SB PSS prints a hardcopy report weekly that lists the current open and overdue action items per the HATS database (which is updated in “real-time” whenever a HATS record is initiated or revised). The Code SB PSS then distributes the printed open/overdue action report weekly to all OSS Action Officers and their Division Secretaries, the Code SB Director, the Deputy Associate Administrator for Space Science, and the Associate Administrator for Space Science. The Associate Administrator for Space Science reviews the weekly printed open/overdue action report and speaks directly to the cognizant Action Officer and/or Division Director to ensure closure of action items.</p> <p>The Code SB PSS updates the Progress Notes feature of the HATS record, 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.”</p>
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 action-item response for accuracy and format, prepares the final version of it, updates the HATS record (if HATS is used by that Division), and obtains concurrences required per the subject matter of the action-item response prior to forwarding the record to the Code SB PSS.

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]
Policy and Business Management Office [Code SB]

11/07/2000

Subject: Code SB Processing of HATS Action Items Issued to the Associate Administrator for Space Science

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
6.7	OSS Division Secretary Action Officer Code SB PSS	As appropriate per the content of the action-item response, the OSS Division Secretary or Action Officer routes the action-item response for approval by an OSS Division Director, and the Code SB PSS routes the action-item response for approval by the Deputy Associate Administrator for Space Science or the Associate Administrator for Space Science.
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 Deputy Associate Administrator for Space Science or the Associate Administrator for Space Science, proceed to Step #6.11.
6.9	OSS Division Secretary Action Officer OSS Division Director Code SB PSS	The cognizant OSS Division Secretary or the Action Officer obtains a signed copy of the action-item response from the cognizant OSS Division Director and provides it to the Code SB PSS. The Code SB PSS then updates the HATS record.
6.10		If the action-item response also requires signature or written concurrence by the Deputy Associate Administrator for Space Science or the Associate Administrator for Space Science, proceed to Step #6.11. If not, proceed to Step #6.13.
6.11	Action Officer Code SB PSS DAA AA	The Action Officer routes the action-item response to the Code SB PSS for review. The Code SB PSS then forwards the action-item response to the Deputy Associate Administrator for Space Science or the Associate Administrator for Space Science (or designee) for signature or written concurrence.

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]
Policy and Business Management Office [Code SB]

11/07/2000

Subject: Code SB Processing of HATS Action Items Issued to the Associate Administrator for Space Science

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
6.12		If the action-item response also requires signature by the NASA Administrator (Code A), proceed to Step #6.15. If not, proceed to Step #6.13.
6.13	Action Officer	The cognizant OSS Division Secretary or the Action Officer transmits the approved action-item response to the requester.
6.14	Code SB PSS	The Code SB PSS closes-out the HATS record for the completed action-item response.
6.15	Code SB PSS	If the action-item response requires the signature of the NASA Administrator (Code A), the Code SB PSS performs a quality-control review of the action-item response in accordance with NPG 1450.10.
6.16		Is the action-item response for Code A of adequate quality? If "yes", the Code SB PSS signs the quality-control portion of the associated Action Document Summary (ADS) [NHQ Form 117] and proceeds to Step #6.16. If "no", the Code SB PSS returns the action-item response to the appropriate OSS Division(s) at Step #6.2 for revision and resubmission.
6.17	Code SB PSS AO	The Code SB PSS forwards the action-item response document and associated ADS to the Code CIC CCO for processing and then updates the HATS record. The action item is then closed in HATS by the Administrator's CCO.

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]
Policy and Business Management Office [Code SB]

11/07/2000

Subject: Code SB Processing of HATS Action Items Issued to the Associate Administrator for Space Science

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
6.17 (concluded)	Code SB PSS AO	<p>If the action-item response relates to an action item from a Code AE quarterly meeting, the Code SB PSS hand-stamps the cover of the response document with a blank “decision-indicator” block that allows the Code AE Chief Engineer to subsequently annotate it as “approved” or “disapproved.” The Code SB PSS then sends the action-item response to the Code CIC CCO for processing. The Code CIC CCO provides the action-item response to Code AE Chief Engineer’s office. The Code AE Chief Engineer determines whether the action-item response is “approved” or “disapproved” and marks this decision in the pre-stamped block on the cover of the action-item response document. The results of this action are provided to the Code CIC CCO, who enters this information in the Code CIC HATS Progress Notes for the action item. The Code SB PSS is automatically notified via E-mail of the information contained in the updated Progress Notes. If the action-item response is disapproved, the Code SB PSS also receives either the original or a copy of the OSS action-item response document. The Code SB PSS then returns the disapproved action-item response document to the Action Officer, who then reworks and resubmits a revised action-item response to the Code SB PSS. The Code SB PSS repeats the previous process for submitting the revised action-item response document to the Code CIC CCO.</p>

[This process concludes when the action-item response has been completed and approved and its final status has been entered into the HATS record.]

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]
Policy and Business Management Office [Code SB]

11/07/2000

Subject: Code SB Processing of HATS Action Items Issued to the Associate Administrator for Space Science

7. QUALITY RECORDS

RECORD IDENTIFICATION	OWNER	LOCATION	MEDIA: ELECTRONIC OR HARDCOPY	NPG 1441.1 SCHEDULE NUMBER AND ITEM NUMBER	RETENTION/ DISPOSITION
Updated HATS Record	Code SB PSS	HATS server	Electronic	Schedule 1, Item 78C	Destroy or delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable.
Open/Overdue Action Status	Code SB PSS	HATS server	Electronic	Schedule 1, Item 78C	Destroy or delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable.

[NOTE #1: These "quality records" are identified in Section 5 ("Flowchart") of this OWI via bold-text titles and shadowing of the borders of their 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.]