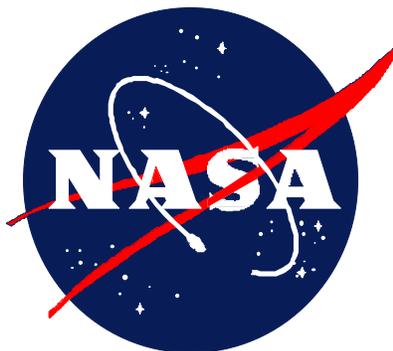


Office Work Instruction

HOWI 1410-Y015A
Effective Date: May 14, 1999

Responsible Office: YB/Business Management Division

Subject: Approve Quality Documents



OFFICE WORK INSTRUCTION

APPROVE QUALITY DOCUMENTS

(Conforming to ISO 9001 Quality System Requirements)

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DOCUMENT HISTORY LOG

Status (Baseline/ Revision/ Canceled)	Document Revision	Effective Date	Description
Baseline		11/30/98	
Revision	A	5/14/99	<p>Added detail to procedure description.</p> <p>Changed single QR to (1) signed concurrence sheet and (2) electronic source file.</p> <p>Section 7.0: Changed QR disposition from "Destroy 30 days after expiration" to "Destroy when 2 years old" per NPG 1441.1. Added NPG 1441.1 reference.</p>

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PREFACE

The NASA Office Work Instruction (OWI) for Approve Quality Documents documents the tasks and activities in conformance with the International Organization for Standardization's (ISO) 9001 requirements for quality systems. The OWI supplements the *NASA Strategic Plan*, the *NASA Strategic Management Handbook*, and other higher level NASA directives, which form the basis for how NASA conducts business.

This OWI is not intended to duplicate or contradict any other NASA policy, procedures or guidelines, which currently exist. As such, the OWI will reference prevailing documents where a topic is addressed and existing coverage is deemed adequate. Additional information provided within is intended to supplement existing documentation regarding Headquarters (HQ) implementation of strategic and program/project management, as well as HQ conformance with the ISO 9001 Quality Management System (QMS) requirements.

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1.0 PURPOSE

This OWI documents the NASA Earth Science Enterprise (ESE) procedure for reviewing and approving Office Work Instructions (OWIs).

2.0 SCOPE AND APPLICABILITY

2.1 Scope. The ESE procedure for approving an OWI includes verifying the accuracy of the OWI, coordinating it among the ESE divisions, and obtaining the ESE Associate Administrator's approval by signature.

2.2 Applicability. This work instruction for Approve Quality Documents applies to the NASA Office of Earth Science (OES, Code Y) offices and divisions. The Associate Administrator for Earth Science is responsible for maintaining this document. The controlled version of this OWI is available on the World Wide Web (WWW) via the HQ ISO 9000 Document Library at <http://hqiso9000.hq.nasa.gov>. Any printed version of this OWI is uncontrolled (reference: HCP 1400.1, *Document and Data Control*). Proposed revisions will be accomplished by following HOWI 1410-Y015, *Approve Quality Documents*.

3.0 DEFINITIONS

3.1 Quality Record. Any ESE-accepted product that supports the Quality Management System.

3.2 Signature Authority. The designated management representative with authority to approve ESE quality documents.

3.3 Document. A statement or form in conventionally written/electronic media, which presents policies, procedures, work instructions, instructional materials made part, directly or by reference, of the Quality Management System. Examples include OWIs and training manuals which provide step-by-step or general instructions stating how to perform specific duties.

3.4 Document Control Board (DCB). A board comprised of a representative of each one of the Earth Science Enterprise divisions and the enterprise representative to the agency implementation team/ISO Project Office.

3.5 ESE Document Manager. The person who administers the Document Management System (DMS) for the Earth Science Enterprise. Responsibilities include reviewing the draft document for format and conformance to standards, coordinating internal OWI updates and reviews, submitting new and revised documents to DMS, and serving as the ESE DCB member.

3.6 HQ Document Manager. The person who administers the DMS for Headquarters, serves as the secretariat for the Document Control Board, and maintains the Master List of Level 1, 2, and 3 documents.

3.7 Limited Applicability. Applies to marking/using superseded or obsolete documents; user must have documented authority to use previous/obsolete documents or products.

3.8 Maintaining Documentation. Providing storage, distribution, reproduction, document revisions, replacement of documents with the latest revisions, and disposition of obsolete and/or invalid documents such as historical, limited applicability, and reference documents for ESE OWIs.

3.9 Office of Primary Responsibility (OPR) Director. The division director of the Enterprise office responsible for preparing, submitting for review and approval, and maintaining the accuracy and currency of a given OWI, from baseline release through revisions.

3.10 OPR Process Owner. The OPR Director or designated representative to whom the OPR Director

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delegates responsibilities for maintaining a particular OWI.

3.11 Quality Management System. A management system which defines and documents an organization's quality policy, quality objectives, and commitment to quality.

4.0 REFERENCES

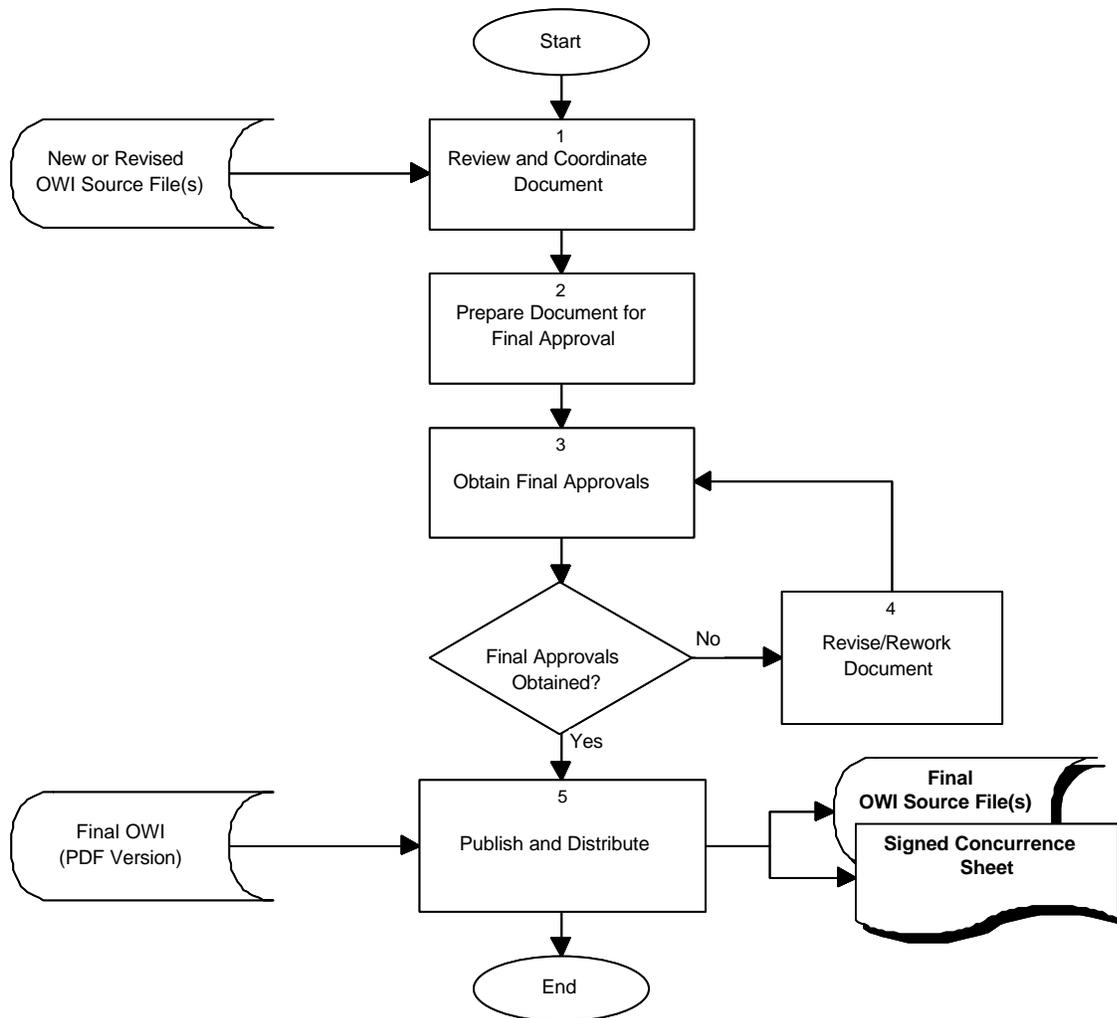
The following document contains provisions that, through reference in this OWI or in policy or procedure documents, constitutes the basis for the documented procedure:

HCP 1400.1 Headquarters Common Process "Document and Data Control"

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5.0 FLOWCHART

The following flowchart depicts the procedure described in Section 6. The outputs in boldface type represent the quality records listed in Section 7.



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6.0 PROCEDURE

Code Y OWIs exist in the form of MS Word files. Each MS Word file contains text and a flow chart. The flow chart is an embedded object, copied from a source TopDown Flowcharter file. The ESE Document Manager maintains an electronic library of the MS Word and TopDown source files. This electronic library resides in the ISO 9000 area of the Code Y Management Information System (CYMIS) Web site¹. CYMIS provides controlled access to the OWI source files.

OWIs are created or revised in accordance with HCP 1400-1, *Document and Data Control*. For revised OWIs, the ESE Document Manager may download the MS Word file for the current version from DMS². Alternatively, any Code Y employee may download the source files from CYMIS. The OWI is then submitted for review, coordination, and approval as described below.

The following table describes the flowchart of Section 5.

Actionee		Action
OWI Author ³ OPR Process Owner OPR Review Team	1	<p><u>Review and Coordinate Document</u>. The OWI author forwards the electronic source file(s) for a new or updated OWI to the process owner. The process owner establishes a review team consisting of knowledgeable personnel from the OPR and other ESE divisions as appropriate. The review team assesses the accuracy of the OWI and provides any comments to the process owner.</p> <p>If necessary, the process owner directs the author to make changes and resubmit. The process owner reviews the resubmitted document to ensure the changes were made correctly.</p> <p>When the OWI is ready for final approval, the process owner forwards the electronic source file(s) for the OWI to the ESE Document Manager. The process owner also indicates which division directors should sign the concurrence sheet. At a minimum, the OPR Director shall sign the concurrence sheet.</p>
ESE Document Manager OPR Director Other division directors as appropriate	2	<p><u>Prepare Document for Final Approval</u>. The ESE Document Manager reviews the OWI for format and conformance to standards. HCP 1400.1, <i>Document and Data Control</i>, Appendix A provides the OWI template, and Appendix B provides the approved set of flowchart symbols.</p> <p>The ESE Document Manager then prints the OWI, prepares a concurrence sheet, and obtains the OPR Director's signature on the concurrence sheet, as well as any other division director signatures as specified by the OPR Director. The ESE Document Manager then forwards the printed OWI and concurrence sheet to the ESE Deputy Associate Administrator (AA).</p>

¹ A CYMIS redesign effort is underway. When completed, the name will change to Earth Science eXtranet (ESX).

² DMS only allows the user who submitted a document to download the Word version, while any user may download the (uneditable) PDF version. Also, DMS does not store the TopDown flowcharter file.

³ The process owner may author or update the OWI, or may delegate author and update responsibility to support staff. This procedure description assumes delegation to an author.

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- ESE Deputy AA 3 Obtain Final Approvals. The Deputy AA signs the concurrence sheet, and presents the OWI to the AA for final enterprise approval. The AA provides final approval by signing the concurrence sheet.
- ESE AA
- OPR Process Owner 4 Revise/Rework Document. If either the Deputy AA or the AA does not concur, the ESE Document Manager forwards their comments to the process owner for incorporation into the OWI. The process owner directs the author to make the changes. The process owner reviews the resubmitted document to ensure the changes were made correctly. Based on the extent of the changes and on concurrences previously obtained, the process owner determines whether or not the OWI needs to be coordinated through other ESE divisions, or if only final approvals are needed.
- OWI Author
- ESE Document Manager 5 Publish and Distribute. Once the document has been signed and approved, the ESE Document Manager executes the following tasks:
- Finalize the OWI.* Open the OWI in MS Word and complete the following steps:
 - If the source file contains revision markings, accept all revisions and set revision tracking off. Update the Table of Contents by clicking on it and hitting [F9]. Review the OWI and verify formatting, pagination, and other aspects that might be overlooked with revision tracking activated.
 - Check all headers (for example, both the first and second page headers, and in the headers of multiple sections). Set the Effective Date, if any, to the date the AA approved the OWI, and ensure the Revision field is correct.
 - Update the Document History Log by deleting any rows reflecting internal Code Y revisions, and completing the appropriate BASELINE or REVISION row. Appendix A of this OWI presents ESE conventions for use of the Document History Log.
 - Save as, for example, Y001Baseline.DOC, or Y001RevA.doc. Appendix B shows ESE naming conventions for OWI source files.
 - Submit the OWI to DMS.* Using a Web browser, access DMS at <http://hqiso9000.hq.nasa.gov> and complete the following steps:
 - In DMS, select the menu option "Submit Draft" (or if the OWI was previously submitted, "Submit Revised Draft") to enter identifying data for the OWI.
 - Deliver the MS Word file YxxxBASELINE.DOC to the HQ Document Manager by e-mail or diskette. The HQ Document Manager converts the Word file to Portable Document Format (PDF), performs a review, and accepts or rejects the PDF version into DMS in accordance with HCP 1400-1, *Document and Data Control*.
 - Upload the Final OWI Source Files to CYMIS.* Access CYMIS and upload the final OWI source files into the ISO 9000 area.

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7.0 QUALITY RECORDS

RECORD IDENTIFICATION	OWNER	LOCATION	MEDIA Electronic or Hardcopy	SCHEDULE AND ITEM NUMBERS*	RETENTION / DISPOSITION
Final OWI Source File(s)	ESE Document Manager	Kept by ESE Document Manager	Electronic	Schedule 1, Item 26, "Internal Management Files."	Destroy when 2 years old.
Signed Concurrence Sheet	ESE Document Manager	Kept by ESE Document Manager	Hardcopy	Schedule 1, Item 26, "Internal Management Files."	Destroy when 2 years old.

* Quality Records are retained in accordance with the referenced schedule and item numbers from NPG 1441.1, *NASA Records Retention Schedules*.

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APPENDIX A. ESE CONVENTIONS FOR OWI DOCUMENT HISTORY LOG

The following tables show example entries for the OWI Document History Log.

OWI authors may use "Draft" and Arabic numerals to track interim (internal ESE / pre-approval) changes:

<u>Status</u> <u>(Baseline/ Revision/ Canceled)</u>	<u>Document</u> <u>Revision</u>	<u>Effective</u> <u>Date</u>	<u>Description</u>
Draft		12/21/98	Draft for Code Y review and approval as document's Baseline
Draft 1		12/22/98	Minor edits to 1 st page of flow chart.
Draft 2		12/23/98	Added review steps to Activity 6 text.

For the approved baseline OWI, the ESE Document Manager deletes any rows representing interim changes, and completes a row to designate BASELINE and the effective date:

<u>Status</u> <u>Baseline/ Revision/ Canceled)</u>	<u>Document</u> <u>Revision</u>	<u>Effective</u> <u>Date</u>	<u>Description</u>
Baseline		12/30/98	

For subsequent updates, OWI authors may use "Draft" and Arabic numerals to track interim changes:

<u>Status</u> <u>(Baseline/ Revision/ Canceled)</u>	<u>Document</u> <u>Revision</u>	<u>Effective</u> <u>Date</u>	<u>Description</u>
Baseline		12/30/98	
Draft 1		01/15/99	Added change control procedures.
Draft 2		01/18/99	Incorporated YB comments.

For the approved revision, the ESE Document Manager designates the revision letter, summarizes the changes incorporated into the approved revision, and deletes any rows representing interim changes.

<u>Status</u> <u>Baseline/ Revision/ Canceled)</u>	<u>Document</u> <u>Revision</u>	<u>Effective</u> <u>Date</u>	<u>Description</u>
Baseline		12/30/98	
Revision	A	01/20/99	Added change control procedures.

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APPENDIX B. ESE FILE NAMING CONVENTIONS FOR OWI MS WORD FILES

The following table shows an example progression of ESE OWI file names. The “Yxxx” represents the OWI number, for example, a HOWI 1410-Y015 source file name would begin with “Y015.”

Example File Name	Comments
Yxxx.DOC	Initial file name.
YxxxRev1.DOC	First interim revision to the initial OWI, pre-approval.
YxxxRev2.DOC	Second interim revision to the initial OWI, pre-approval.
YxxxBaseline.DOC	Final, approved baseline version / source file for DMS submission.
YxxxBaselineR1.DOC	First interim revision to the baseline OWI, pre-approval.
YxxxBaselineR2.DOC	Second interim revision to the baseline OWI, pre-approval.
YxxxBaselineR3.DOC	Third interim revision to the baseline OWI, pre-approval.
YxxxRevA.DOC	Approved revision / source file for DMS submission.
YxxxRevAR1.DOC	First interim revision to Revision A.
YxxxRevAR2.DOC	Second interim revision to Revision A.
YxxxRevB.DOC	Approved revision / source file for DMS submission.