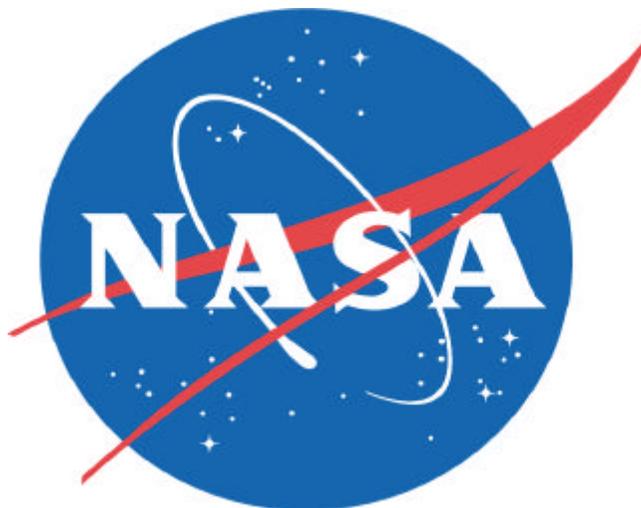


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Assistant Associate Administrator for Strategic and International Planning (AAA/SIP)

Subject: Performance Planning



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

Office Work Instruction

Performance Planning

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

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]

11/16/1999

Assistant Associate Administrator for Strategic and International Planning (AAA/SIP)

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STATUS (BASELINE/ REVISION/ CANCELED)	DOCUMENT REVISION	EFFECTIVE DATE	DESCRIPTION
Baseline		02/01/1999	<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 #279, #293, #296, #302, #311, #312, #315, #317, and #321 from the NASA HQ ISO-9001 Pre-Assessment audit.
Revision	B	11/16/1999	<ul style="list-style-type: none"> Clarifies references to "Performance Plan Indicators (PPI's)" vis-a-vis "Performance Plan Targets (PPT's)". Changes all references to "Education and Public Outreach (EPO)" to become "Education and Outreach (E&O)". Modifies process description in Section #6, Step 6.2 to clarify "review" and "approval" activities. Revises set of "quality record" and "non-quality record" output products in Section 6 and Section 7. Incorporates recent terminology and format standardization.

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1. PURPOSE The purpose of this Office Work Instruction (OWI) is to define the process by which the Office of Space Science (OSS) develops and documents Space Science Enterprise (SSE) Performance Plan Targets (PPT's). The PPT's are subsequently incorporated into the NASA Performance Plan (PP) required by the Government Performance and Results Act (GPRA) of 1993.

2. SCOPE AND APPLICABILITY

2.1 Preparation of the SSE PPT's is the responsibility of the OSS Headquarters science management, based on information obtained from program and project offices at the NASA Centers and from the Assistant Associate Administrator for Space Science (Education and Outreach) [AAA/E&O], with coordinating support from the Assistant Associate Administrator for Space Science (Strategic and International Planning) [AAA/SIP].

3. DEFINITIONS

3.1 AA. Associate Administrator for Space Science.

3.2 AAA/E&O. Assistant Associate Administrator for Space Science (Education and Outreach).

3.3 AAA/SIP. Assistant Associate Administrator for Space Science (Strategic and International Planning).

3.4 Code B. NASA Headquarters Office of the Chief Financial Officer.

3.5 Code SA. OSS Science Board of Directors.

3.6 Code SD. OSS Mission and Payload Development Division.

3.7 Code SM. OSS Advanced Technology and Mission Studies Division.

3.8 Code SP. OSS Administration and Resources Management Division.

3.9 Code SR. OSS Research Programs Management Division.

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- 3.10 Program Operating Plan (POP). Yearly solicitation to NASA Centers by NASA Headquarters for planning information (including proposed budgets) for activities for the new budget year.
- 3.11 Research and Analysis (R&A). Programs that fund supporting scientific research such as instrumentation, theory, and data analysis.

4. REFERENCES

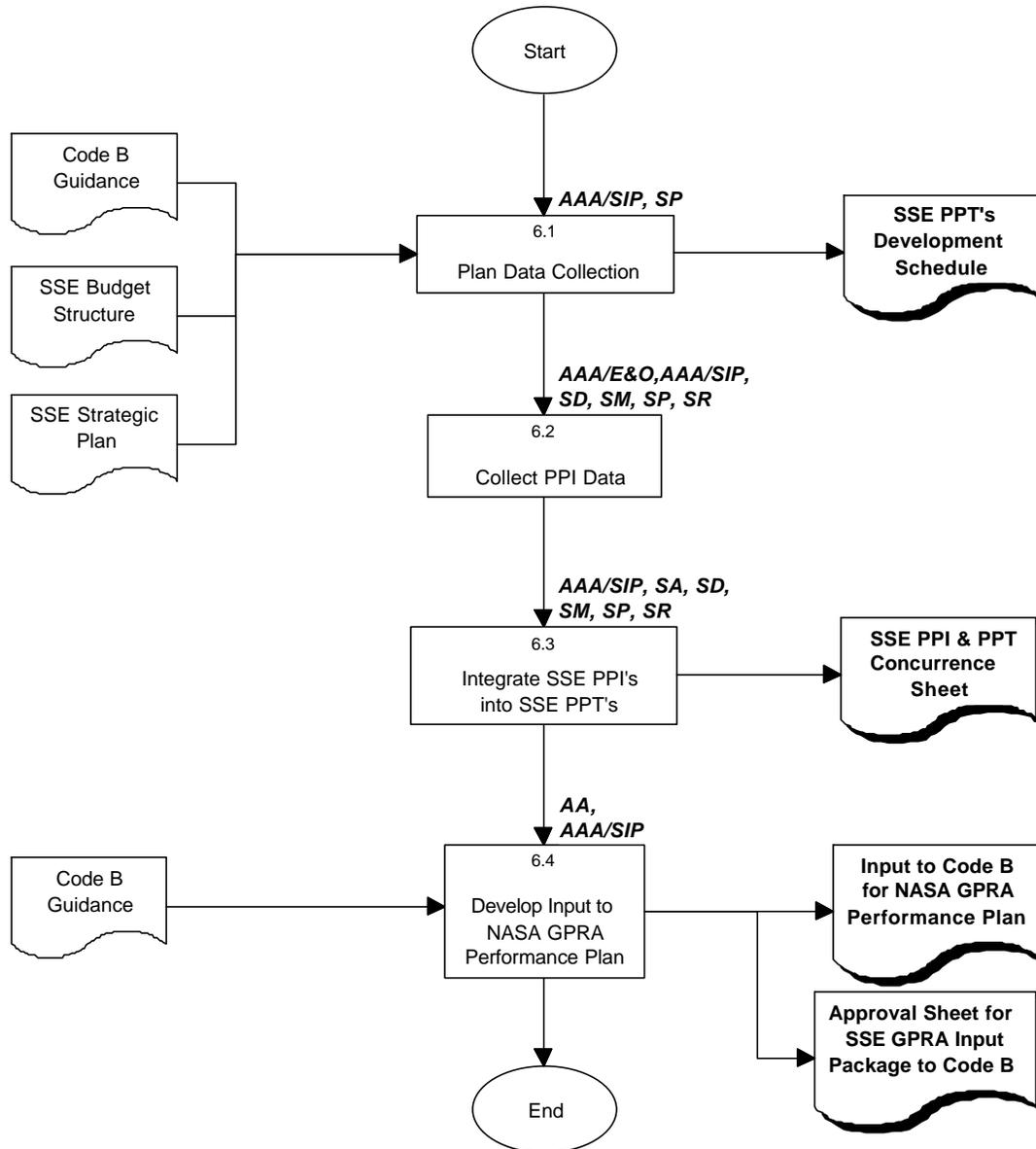
- 4.1 ANSI/ISO/ASQC Q9001-1994
American National Standard, Quality Systems --
Model for Quality Assurance in Design,
Development, Production, Installation, and
Servicing
- 4.2 HCP1280-2 Corrective and Preventive Action
- 4.3 HCP1280-3 Internal Quality Audits
- 4.4 HCP1400-1 Document and Data Control
- 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 1000.2 NASA Strategic Management Handbook
- 4.12 NPG 1441.1 NASA Records Retention Schedules (NRRS)
- 4.13 Government Performance and Results Act
(GPRA) of 1993

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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.]



LEGEND

- AA = Associate Administrator for Space Science
- AAA/E&O = Assistant Associate Administrator for Space Science (Education & Outreach)
- AAA/SIP = Assistant Associate Administrator for Space Science (Strategic & International Planning)
- SA = OSS Science Board of Directors
- SD = OSS Mission & Payload Development Division
- SM = OSS Advanced Technology & Mission Studies Division
- SP = OSS Administration & Resources Management Division
- SR = OSS Research Programs Management Division

Subject: Performance Planning**6. PROCEDURE**

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
6.1	AAA/SIP, SP	The AAA/SIP formulates a plan for development of the SSE PPT's based on NASA-level guidance received from Code B. Since the NASA GPRA PP is structured in alignment with program budget lines, a template of the coming year's budget submission is provided by Code SP. The development plan, which includes a detailed schedule, is circulated to the OSS Science Board of Directors (Code SA) and to Codes SD, SM, and SR.
6.2	AAA/E&O, AAA/SIP, SD, SM, SP, SR	In consultation with Codes SD, SM, SP, and SR, the AAA/SIP formulates a request for Performance Plan Indicator (PPI) information that is incorporated into the Program Operating Plan (POP) call that initiates the budget cycle. These PPI's are events in each budgeted project that will occur during the fiscal year of the OSS/SSE budget in development. Education and Outreach PPI's are obtained from the AAA/E&O. Not all budget elements can be represented by discrete events; some programs (such as R&A, data analysis, and some basic-technology research programs) are evaluated at the conclusion of the fiscal year by a retrospective assessment process. These are explicitly identified and excluded from the request for event-based PPI's. When the NASA Center POP submissions are received by Code SP, the proposed project PPI's are stripped out by Code SP and provided to the AAA/SIP, who consults with Program Executives and Program Scientists in Codes SD, SM, and SR.
6.3	AAA/SIP, SA, SD, SM, SP, SR	As the OSS/SSE budget proposal matures, the AAA/SIP checks the collected PPI's for continued alignment with the budget structure. The objective is to have one or more clearly verifiable milestone accomplishments for each budgeted project line (i.e., the objective is not to develop an exhaustive statusing framework for each individual project, but rather a broad means to assess the integrated condition of the SSE at the end of the fiscal year). The AAA/SIP collects the PPI's, aggregates them

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into Performance Plan Targets (PPT's), and circulates the package for comment and concurrence to the Science Board of Directors (Code SA) and the directors of the NASA Headquarters OSS divisions (Codes SD, SM, SP, and SR). As a component of the budget proposal for the next fiscal year, it may be included in the budget embargo.

- 6.4 AA, AAA/SIP The GPRA requires federal agencies to submit a formal performance plan with their budget submissions for each fiscal year. Responding to Code B guidance, the AAA/SIP formats the PPI's and PPT's and develops accompanying narrative material for inclusion in the NASA GPRA Performance Plan (PP). The AA for Space Science indicates approval of the SSE input to the NASA GPRA PP via signature on the accompanying Approval Sheet. The AAA/SIP then forwards the SSE GPRA Input Package to Code B.

7. QUALITY RECORDS

RECORD IDENTIFICATION	OWNER	LOCATION	MEDIA: ELECTRONIC OR HARDCOPY	NPG 1441.1 SCHEDULE NUMBER AND ITEM NUMBER	RETENTION/ DISPOSITION
SSE Performance Plan Targets (PPT's) Development Schedule	AAA/SIP	AAA/SIP office	Hardcopy	Schedule 1, Item 79A	Retire to FRC when 5 years old. Destroy when 20 years old.
SSE PPI and PPT Concurrence Sheets	AAA/SIP	AAA/SIP office	Hardcopy	Schedule 1, Item 79A	Retire to FRC when 5 years old. Destroy when 20 years old.
Input to Code B for NASA GPRA Performance Plan	AAA/SIP	AAA/SIP office	Hardcopy	Schedule 1, Item 79A	Retire to FRC when 5 years old. Destroy when 20 years old.
Approval Sheets for SSE GPRA Input Package to Code B	AAA/SIP	AAA/SIP office	Hardcopy	Schedule 1, Item 79A	Retire to FRC when 5 years old. Destroy when 20 years old.

[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.]