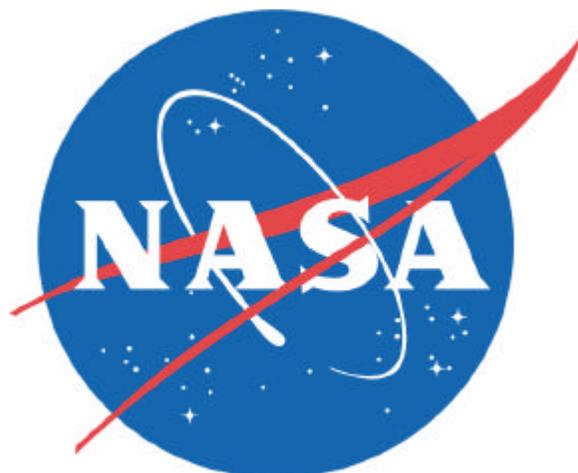


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**Subject: Performance Assessment**

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

**Office Work Instruction**

# **Performance Assessment**

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)

**Subject: Performance Assessment****DOCUMENT HISTORY LOG**

STATUS (BASELINE/ REVISION/ CANCELED)	DOCUMENT REVISION	EFFECTIVE DATE	DESCRIPTION
Baseline		02/01/1999	<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 #279, #293, #296, #302, #311, #312, #315, #317, and #321 from the NASA HQ ISO-9001 Pre-Assessment audit.</li> </ul>
Revision	B	11/16/1999	<ul style="list-style-type: none"> <li>Changes all references to "Education and Public Outreach (EPO)" to become "Education and Outreach (E&amp;O)".</li> <li>Modifies process description in Section 6, Steps #6.4 and #6.6 to clarify "review" and "approval" activities.</li> <li>Revises set of "quality record" and "non-quality record" output products in Section 6 and Section 7.</li> <li>Incorporates recent terminology and format standardization.</li> </ul>

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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 Report Data (PRD). The SSE PRD are subsequently incorporated into the NASA Performance Report (PR) as required by the Government Performance and Results Act (GPRA) of 1993.

### 2. SCOPE AND APPLICABILITY

2.1 Preparation of the SSE PRD is the responsibility of the OSS Headquarters science, flight, and technology program management, based upon information obtained from program and project offices at the NASA Centers and independent assessment panels. Coordination is provided by 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 (CFO).

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.

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- 3.9 Code SR. OSS Research Programs Management Division.
- 3.10 Panels. Independent research program assessment panels.

**4. REFERENCES**

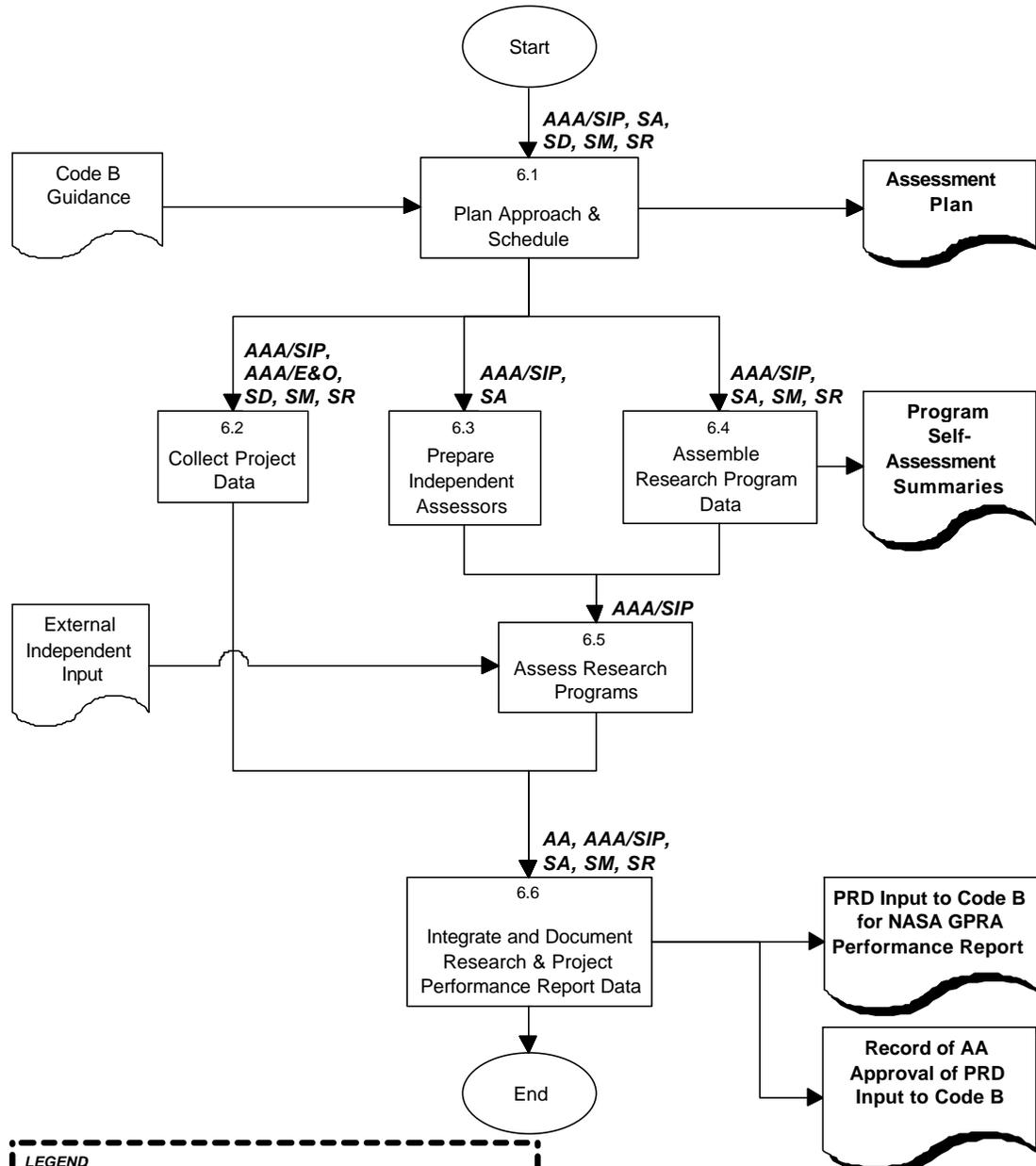
- 4.1 ANSI/ISO/ASQC Q9001-1994  
American National Standard, Quality Systems --  
Model for Quality Assurance in Design,  
Development, Production, Installation, and  
Servicing
- 4.2 HCP1280-2 Corrective and Preventive Action
- 4.3 HCP1280-3 Internal Quality Audits
- 4.4 HCP1400-1 Document and Data 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  
 SR = OSS Research Programs Management Division

**Subject: Performance Assessment****6. PROCEDURE**

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
6.1	AAA/SIP, SA, SD, SM, SR	The AAA/SIP formulates an Assessment Plan for development of SSE PRD that includes a milestone schedule for completion of the SSE PRD (particularly the time-critical input to Code B for the NASA GPRA PR), based upon NASA-level guidance received from Code B. The NASA GPRA PR is aligned with the components of the NASA GPRA Performance Plan (PP). The AAA/SIP consults the directors of Codes SD, SM, and SR and subsequently with their Program Executives and Program Scientists to plan how outcomes corresponding to individual SSE elements of the NASA PP will be ascertained and verified. The AAA/SIP consults with Code SR, the Science Board of Directors (Code SA), and Code SM on the detailed approach for assessing the status of the scientific and technology research programs. Because of the long time lag associated with forming and convening volunteer independent panels, preparatory actions need to be taken in this area well in advance of the close of the fiscal year.
6.2	AAA/E&O, AAA/SIP, SD, SM, SR	In accordance with the Assessment Plan from Step #6.1, the AAA/SIP requests that Codes SD, SM, and SR collect project-performance outcomes for fiscal-year performance targets from NASA Center program and project offices. These Headquarters divisions collect, validate, and aggregate this outcome information from the NASA Centers and forward it to the AAA/SIP for integration and analysis. The AAA/E&O provides performance data for education and outreach programs.
6.3	AAA/SIP, SA	Because the basic science and technology research programs are not susceptible to progress measurement by means of key-event milestones, they are assessed by means of independent retrospective peer review. This requires tasking of suitably constituted panel(s) of experts, per the provisions of the Assessment Plan. The AAA/SIP, in consultation with the Science Board of Directors (Code SA), provides the panel(s)

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with instructions and information (see Step #6.4) for the assessment.

- 6.4 AAA/SIP, SA, SM, SR For the independent assessors to be able to perform effectively, they must be provided with adequate self-assessment summaries of the various research programs. This information is assembled by Code SR (for science programs) and Code SM (for technology programs), coordinated by the AAA/SIP.
- 6.5 AAA/SIP The AAA/SIP oversees the assessment of research programs by the independent panels (constituted and convened per Step #6.3). The AAA/SIP collects reports from these panels for integration with project-outcome data.
- 6.6 AA, AAA/SIP, SA, SM, SR The AAA/SIP integrates project key-event performance data (from Step #6.2) with research program performance assessments (from Step #6.5) to assemble the integrated SSE PRD and circulate it to the Science Board of Directors (Code SA), Code SM, and Code SR for comment. After receiving these comments and the approval of the Associate Administrator for Space Science, the AAA/SIP prepares the final SSE PRD and any necessary narrative for inclusion in the NASA GPRA PR. These are provided to Code B.

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**Subject: Performance Assessment****7. QUALITY RECORDS**

RECORD IDENTIFICATION	OWNER	LOCATION	MEDIA: ELECTRONIC OR HARDCOPY	NPG 1441.1 SCHEDULE NUMBER AND ITEM NUMBER	RETENTION/ DISPOSITION
Assessment Plan	AAA/SIP	AAA/SIP office	Hardcopy	Schedule 1, Item 79A	Retire to FRC when 5 years old. Destroy when 20 years old.
Program Self-Assessment Summaries	AAA/SIP	AAA/SIP office	Hardcopy	Schedule 1, Item 79A	Retire to FRC when 5 years old. Destroy when 20 years old.
Performance Report Data (PRD) Input to Code B for NASA GPRA Performance Report	AAA/SIP	AAA/SIP office	Hardcopy	Schedule 1, Item 79A	Retire to FRC when 5 years old. Destroy when 20 years old.
Record of AA Approval of PRD Input 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.]