
Office Work Instruction (OWI)

HOWI7040-S003
02/01/1999

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]
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	This is the initial "baseline" version of the OWI.

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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 the Performance Report (PR) of the Space Science Enterprise (SSE). Elements of this SSE PR are subsequently incorporated into the NASA Performance Report as required by the Government Performance and Results Act (GPRA) of 1993.

2. SCOPE AND APPLICABILITY

2.1 Preparation of the SSE PR is the responsibility of the OSS Headquarters science, flight, and technology program management, based on information obtained from program and project offices at the NASA Centers and independent assessment panels. Coordination is provided by the Assistant Associate Administrator for Strategic and International Planning (AAA/SIP).

3. DEFINITIONS

3.1 AA. The OSS Associate Administrator.

3.2 AAA/EPO. The OSS Assistant Associate Administrator for Education and Public Outreach.

3.3 AAA/SIP. The OSS Assistant Associate Administrator for Strategic and International Planning.

3.4 Code SA. The OSS Science Board of Directors.

3.5 Code SD. The OSS Mission and Payload Development Division.

3.6 Code SM. The OSS Advanced Technology and Mission Studies Division.

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- 3.7 Code SP. The OSS Administration and Resources Management Division.
- 3.8 Code SR. The OSS Research Programs Management Division.
- 3.9 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 GPRA Government Performance and Results Act of
1993
- 4.3 HCP1280-2 Corrective and Preventive Action
- 4.4 HCP1280-3 Internal Quality Audits
- 4.5 HCP1400-1 Document and Data Control
- 4.6 HCP3410-4 Employee Training
- 4.7 HQPC1150.1 NASA Headquarters Quality Council Policy
Charter
- 4.8 HQSM1200-1 NASA Headquarters Quality System Manual
- 4.9 NHB 1101.3 NASA Organization Handbook
- 4.10 NPD 1000.1 NASA Strategic Plan

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4.11	NPD 8730.3	NASA Quality Management System Policy (ISO 9000)
4.12	NPG 1000.2	NASA Strategic Management Handbook
4.13		Space Science Enterprise Management Handbook

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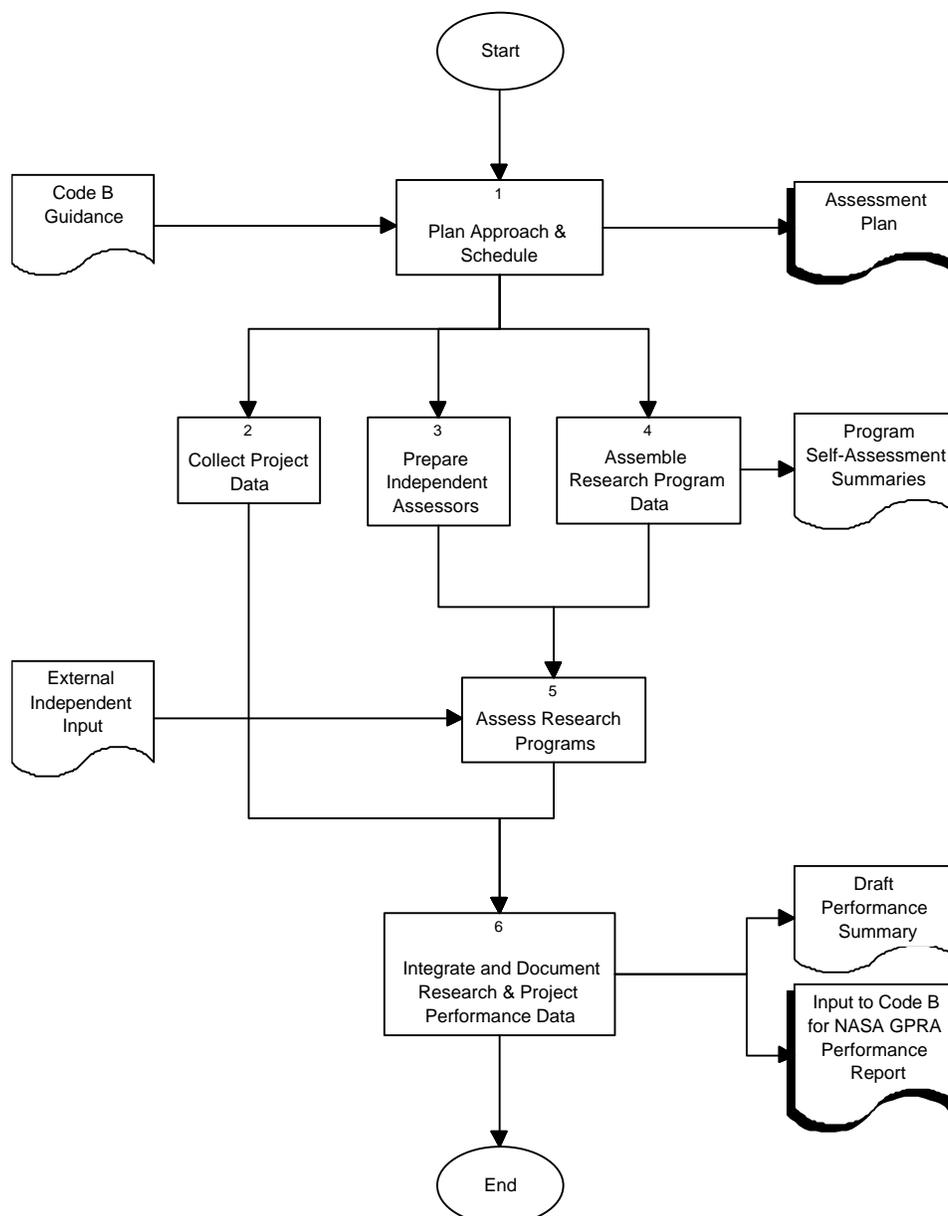
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5. FLOWCHART

[NOTE: "Quality record" output products are identified via shadowing of the standard ANSI document symbol.]



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6. PROCEDURE

[NOTE: The following sequence of process steps is numbered in accordance with the number assigned to each corresponding function block in the flowchart in Section 5.]

<u>STEP #</u>	<u>AGENTS</u>	<u>DESCRIPTION</u>
1	AAA/SIP, SA, SD, SM, SR	<p>The AAA/SIP formulates an assessment plan for development of the SSE PR based on NASA-level guidance received from Code B. The NASA GPRA PR will be 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 elements of the PP will be ascertained and verified. The AAA/SIP consults with Code SR, the Science 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 will need to be taken in this area well in advance of the close of the fiscal year.</p> <p>The AAA/SIP documents a detailed assessment plan that includes a milestone schedule for completion of the assessment report (particularly the time-critical input to Code B for the NASA GPRA PR).</p>
2	AAA/SIP, SD, SM, SR	<p>In accordance with the assessment plan from Step #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/EPO provides performance data (as required per the PP) for education and public outreach programs.</p>

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- 3 AAA/SIP, SA, Panels
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 panels of experts, per the provisions of the PR assessment plan. The AAA/SIP, in consultation with the Science Directors (Code SA), convenes the panels and provides them with instructions and information (see Step #4) for the assessment.
- 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) with the coordination of the AAA/SIP. The Science Directors (Code SA) validate the appropriateness and adequacy of the assembled data to support the necessary independent evaluation for science programs.
- 5 AAA/SIP, Panels
The AAA/SIP oversees the assessment of research programs by the independent panels (constituted and convened per Step #3). The AAA/SIP collects reports from these panels for integration with project-outcome data.
- 6 AAA/SIP, SA, SM, SR
The AAA/SIP integrates project key-event performance data (from Step #2) with research program performance assessments (from Step #5) to assemble the integrated SSE PR. A draft performance summary is circulated to the Science Directors (Code SA), Code SM, and Code SR for validation.

After this validation, the AAA/SIP prepares the final SSE PR. In addition, the AAA/SIP coordinates with Code B to develop inputs for inclusion in the NASA GPRA PR.

7. QUALITY RECORDS

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RECORD IDENTIFICATION	OWNER	LOCATION	MEDIA (ELECTRONIC/HARDCOPY)	RETENTION	DISPOSITION
Assessment Plan	Code S	Code S files	Hardcopy	5 years	Destroy 5 years after supersession or completion
Input to Code B for NASA GPRA Performance Report	Code S	Code S files	Hardcopy	5 years	Destroy 5 years after supersession or completion

[NOTE #1: These "quality record" output products are identified in Section 5 ("Flowchart") of this OWI via shadowing of the standard ANSI document symbol.]

[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.]