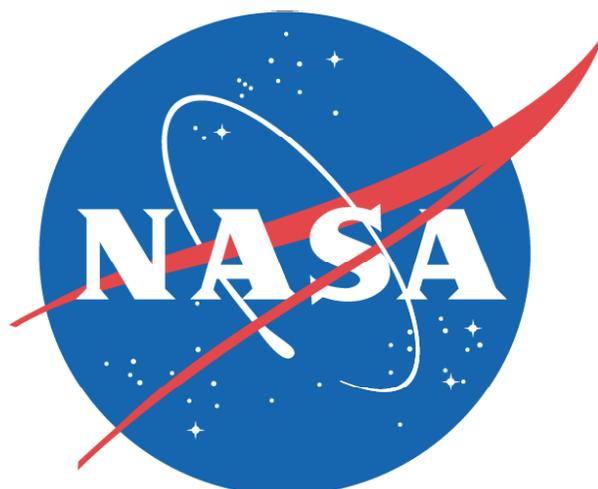


Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]
Mission and Payload Development Division (Code SD)

Subject: Develop or Update Program Commitment Agreement (PCA)



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

Office Work Instruction

Develop or Update Program Commitment Agreement (PCA)

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]
Mission and Payload Development Division (Code SD)**Subject: Develop or Update Program Commitment Agreement (PCA)****DOCUMENT HISTORY LOG**

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 #293, #296, #298, #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"> Augments list of definitions in Section 3. Incorporates inputs and outputs cited in Section 6 into flowchart in Section 5. Clarifies draft PCA vs. final PCA in flowchart in Section 5 and Section 6. Clarifies evidence of concurrences and approvals for PCA in Section 6. 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 updates Program Commitment Agreements (PCA's).

2. SCOPE AND APPLICABILITY

2.1 Program Commitment Agreements (PCA's) are required for all NASA programs. Baseline PCA's are prepared near the end of the "formulation" sub-process of the program life cycle, as defined in Section 2.1 of NPG 7120.5. The PCA-approval process occurs during the program-approval phase and is required for approving the program for implementation, as defined in Section 2.2 of NPG 7120.5. PCA's are subject to annual revision, review, and revalidation. Required PCA content is defined in Appendix E-2 of NPG 7120.5.

3. DEFINITIONS

3.1 AA. Associate Administrator for Space Science.

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

3.3 Code B. NASA Headquarters Office of the Chief Financial Officer (CFO).

3.4 Code M. NASA Headquarters Office of Space Flight.

3.5 Code SP. OSS Administration and Resources Management Division.

3.6 Code SR. OSS Research Programs Management Division.

3.7 Confirmation Review (CR). A program review conducted by the Associate Administrator for Space Science for the purpose of approving the program for implementation.

3.8 Governing Program Management Council (GPMC). Forums composed of NASA Headquarters, NASA Center, and/or NASA

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Federally Funded Research and Development Center (FFRDC) Senior Management that assess program and project planning and implementation and provide oversight and direction.

- 3.9 Non-Advocate Review (NAR). A review that provides an independent verification of a candidate program's or project's plans, life-cycle cost status, and readiness to proceed to the next phase of the program's or project's life cycle. The review team comprises management, technical, and budget personnel who will not participate in the implementation of the proposed program or project.
- 3.10 Program. An activity within an Enterprise having defined goals, objectives, requirements, and funding and consisting of one or more projects. It reports to the NASA PMC, unless delegated to a GPMC.
- 3.11 Program Commitment Agreement (PCA). The contract between the NASA Administrator and the Associate Administrator for Space Science for the implementation of a program in terms of cost, schedule, and content.
- 3.12 Program Executive. In accordance with delegation authority from the Associate Administrator for Space Science, responsible for: providing program policy, strategy, and standards that support OSS goals and standards; determining program objectives, goals, and requirements; approving principal program documents; allocating funds to ensure successful implementation of the program; and assessing program performance.
- 3.13 Program Management Council (PMC). The Senior Management group, chaired by the NASA Deputy Administrator, responsible for reviewing and recommending approval of proposed programs and overseeing their implementation according to NASA commitments, priorities, and policies.
- 3.14 Program Operating Plan (POP). A document prepared annually by the Lead Center defining the content and schedule for program budget utilization, with associated costing schedules.

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- 3.15 Program Plan. The document that establishes the baseline for program implementation, including the Level 1 requirements as well as the agreements among the Program Executive, the Program Scientist, the Associate Administrator for Space Science, the Lead Center Director, the implementing organization, and the Program Manager.

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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 7120.4 | Program/Project Management |
| 4.11 | NPD 8730.3 | NASA Quality Management System Policy (ISO 9000) |
| 4.12 | NPG 1000.2 | NASA Strategic Management Handbook |
| 4.13 | NPG 1441.1 | NASA Records Retention Schedules (NRRS) |
| 4.14 | NPG 7120.5 | NASA Program and Project Management Processes and Requirements |
| 4.15 | | Applicable Program Plan |

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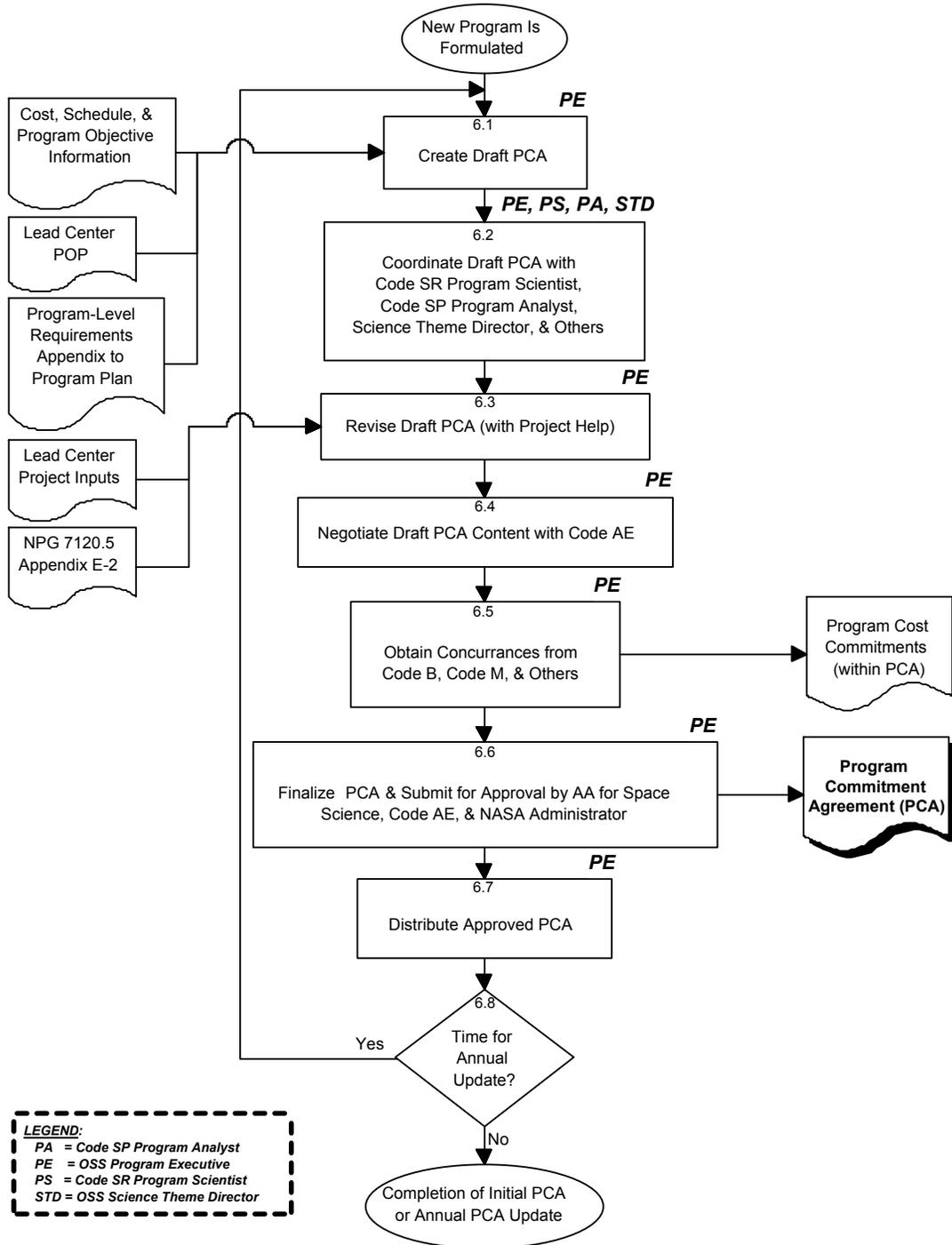
5. FLOWCHART

[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.]

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6. PROCEDURE

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
<i>[This process commences when a new Program is formulated.]</i>		
6.1	Program Executive	The initial draft of the Program Commitment Agreement (PCA) is prepared during the program "formulation" sub-process from cost, schedule, and program-objective information received from the Program Office at the cognizant NASA Center. As the program approaches the approval milestone, a draft PCA is generated as an input to the Non-Advocate Review (NAR) or Confirmation Review (CR) process. Responsibility for PCA finalization and approval is transferred to the OSS Mission and Payload Development Division (Code SD) at the same time that Code SD takes responsibility for the program. The PCA resides in Code SD as a working draft until formally approved. The Program Operating Plan (POP), prepared annually by the Lead Center, and the Level 1 Requirements, as defined in the Appendix to the Program Plan, provide reference material for the PCA.
6.2	Program Executive Code SR Program Scientist Code SP Program Analyst Science Theme Director	The Program Executive coordinates a review of the draft PCA among key elements within the Office of Space Science (e.g., the Code SR Program Scientist, the Code SP Program Analyst, the Science Theme Director, and others as appropriate for the content of the specific PCA).
6.3	Program Executive	The Program Executive, with input from the project at the Lead Center, modifies the draft PCA in accordance with comments and inputs received and ensures that the PCA format satisfies the requirements specified in Appendix E-2 of NPG 7120.5.
6.4	Program	The Office of Space Science submits the draft PCA to the Office

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Executive of the Chief Engineer (Code AE), which responds with comments and requests for revision.

6.5 Program Executive The Program Executive negotiates PCA concurrence with the Office of the Chief Financial Officer (Code B), the Office of Space Flight (Code M), and others (as appropriate for the content of the specific PCA). Concurrence signatures are incorporated into the Program Cost Commitment (PCC) portion of the PCA.

6.6 Program Executive The Program Executive finalizes the PCA and submits it for approval by the Associate Administrator for Space Science, the NASA Headquarters Office of the Chief Engineer, and the NASA Administrator. The requisite approval signatures are incorporated into the final PCA document.

6.7 Program Executive The Program Executive distributes the approved PCA. *[The process is repeated on an annual basis until the program is concluded.]*

6.8 If it is time to initiate an annual update of an existing PCA, return to Step #6.1. If not, end the process.

[This process concludes when the initial PCA or annual PCA update has been completed.]

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7. QUALITY RECORDS

RECORD IDENTIFICATION	OWNER	LOCATION	MEDIA: ELECTRONIC OR HARDCOPY	NPG 1441.1 SCHEDULE NUMBER AND ITEM NUMBER	RETENTION/ DISPOSITION
Approved Program Commitment Agreement (PCA)	Code SD Division Secretary	Code SD Division files	Hardcopy	Schedule 7, Item 10A	* Permanent * Retire files by fiscal year to FRC when no longer needed for active reference or when 8 years old, whichever is sooner. Transfer to NARA when 25 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.]